



**State of Tennessee**  
**Department of Finance and  
Administration**  
**Compliance Review and  
Implementation Plan**  
*for*  
***Title VI of the Civil Rights Act of 1964***  
***Title IX of the Education  
Amendments Act of 1972***

**June 30, 2002**

Commissioner:	C. Warren Neel, Ph.D.
Deputy Commissioner:	Gerald Adams, Budget
Chief Operating Officer:	Duane W. Hawkins
Division Heads:	Jan Sylvis, Accounts Mike Morrow, Administration Bill Bradley, Budget Larry Kirk, Capital Projects and Real Property Management Richard Chapman, Insurance Administration Richard Rogehaugh, Office for Information Resources Buddy Lea, Resource Development and Support
Interim Title VI & Title IX Coordinator:	Buddy Lea

# CONTENTS

---

1. SCOPE
  - 1.1. Purpose
  - 1.2. Period Covered—2001-2002
  - 1.3. Applicability—Departmental and Subrecipient Programs
2. ORGANIZATIONAL ENVIRONMENT
  - 2.1. Strategic Focus
  - 2.2. Programmatic Overview
    - 2.2.1. Accounts
    - 2.2.2. Administration
    - 2.2.3. Budget
    - 2.2.4. Capital Projects and Real Property Management
    - 2.2.5. Insurance Administration
    - 2.2.6. Office for Information Resources (OIR)
    - 2.2.7. Resource Development and Support (RDS)
  - 2.3. Budget Overview
  - 2.4. Resources Committed to *Title VI* and *Title IX* Compliance
  - 2.5. Federal Funding Types
  - 2.6. Contracted Program Overview
    - 2.6.1. Subrecipients and Vendors
    - 2.6.2. Methods of Disbursements
3. APPROACH AND ORGANIZATION
  - 3.1. Responsibilities
    - 3.1.1. Title VI and Title IX Compliance
    - 3.1.2. Title VI and Title IX Policy
    - 3.1.3. Compliance Review and Implementation Plan Coordination
    - 3.1.4. Compliance Review and Implementation Plan Performance
  - 3.2. Resource Commitment
  - 3.3. “Protected Beneficiary” Representatives Involvement
  - 3.4. Planning and Implementation
  - 3.5. Compliance Review
  - 3.6. Enforcement
4. POLICY AND GUIDELINES
  - 4.1. Encouraged Practices
  - 4.2. Prohibited Practices
  - 4.3. Requirements Relating to Covered Employment
  - 4.4. Issues Resolution
    - 4.4.1. Departmental Complaint Procedures
    - 4.4.2. Subrecipient Complaint Procedures
  - 4.5. Definition of Related Terms
  - 4.6. Service Procurement Requirements
    - 4.6.1. Service Provider Registry System
    - 4.6.2. Procurement Rules and Policy
5. COMMUNICATION
  - 5.1. Employee Notification
  - 5.2. Subrecipient Notification

- 5.3. Public Notification
- 6. PROGRAM SUPPORT
  - 6.1. Employee Information and Training
    - 6.1.1. Legal Requirements
    - 6.1.2. Valuing Diversity and Multicultural Understanding
  - 6.2. Subrecipient Program Support
- 7. DATA COLLECTION
  - 7.1. Diversity Data Collection Systems
    - 7.1.1. Program Accountability Review
    - 7.1.2. Service Provider Registry System
    - 7.1.3. Capital Contractor Ownership Tracking
  - 7.2. Workforce Diversity
  - 7.3. Subrecipient Program Beneficiary Diversity
- 8. COMPLIANCE REVIEW AND EVALUATION
  - 8.1. Departmental Review
    - 8.1.1. Periodic Data Review and Annual Evaluation
    - 8.1.2. Audit
  - 8.2. Subrecipient Compliance Review
    - 8.2.1. Pre-Award Review
    - 8.2.2. Post-Award Review

## APPENDICES

# 1. SCOPE

## 1.1. Purpose

The purpose of this Department of Finance and Administration (F&A) Compliance Review and Implementation Plan is to meet the implementation planning and annual reporting requirements of *Tennessee Code Annotated*, § 4-21-901, *et seq.* and *Tennessee Code Annotated*, § 4-4-123. It is intended to detail F&A efforts and strategy to foster the intents of and ensure compliance with *Title VI of the Civil Rights Act of 1964* and *Title IX of the Education Amendments Act of 1972*.

## 1.2. Period Covered—2001-2002

The departmental process for ensuring and reviewing compliance with *Title VI of the Civil Rights Act of 1964* and *Title IX of the Education Amendments Act of 1972* has been reassessed. Consequently, F&A has implemented an approach with renewed emphasis on implementation follow-through and performance measurement.

The fiscal year ending June 30, 2000, serves as a baseline year for this Compliance Review and Implementation Plan. This document provides a context for F&A executives to guide successful *Title VI* and *Title IX* implementation and review in the coming fiscal year.

## 1.3. Applicability—Departmental and Subrecipient Programs

The Department of Finance and Administration carries out its responsibilities both through its own administrative and program staff and through contracted programs.

As a recipient of federal financial assistance, the requirements of *Title VI of the Civil Rights Act of 1964* are applicable to all of the operations of the Department of Finance and Administration and to any entity to which federal funded financial assistance is extended. (*United States Code*, § 2000d-4a)

Accordingly, the charge—

No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. (*United States Code*, § 2000d)

—is applicable to all of the programs, activities, and operations of the department and the Subrecipient entities with which the department contracts utilizing federal funds.

Likewise, as a recipient of federal financial assistance for education activities, the requirements of *Title IX* of the Education Amendments Act of 1972 are applicable to all of the operations of the Department of Finance and Administration and to any entity to

which federal funded financial assistance for education activities is extended. (*United States Code*, § 1687)

The mandates of Title IX are:

No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance . . . (*United States Code*, § 1681)

and

No person in the United States shall, on the ground of blindness or severely impaired vision, be denied admission in any course of study by a recipient of Federal financial assistance for any education program or activity, but nothing herein shall be construed to require any such institution to provide any special services to such person because of his blindness or visual impairment. (*United States Code*, § 1684)

Both are applicable to all of the programs, activities, and operations of the department and the Subrecipient entities with which the department contracts for education activities utilizing federal funds.

(See sections 2.6.1 and 4.5 for details about Subrecipients.)

## 2. ORGANIZATIONAL ENVIRONMENT

### 2.1. Strategic Focus

The foundations of F&A's business planning and resulting strategic focus are the mandates of the Governor's Executive Branch Strategic Plan. With this strategic focus, F&A has clarified its mission and vision and organized its work and goals to emphasize these key aims.

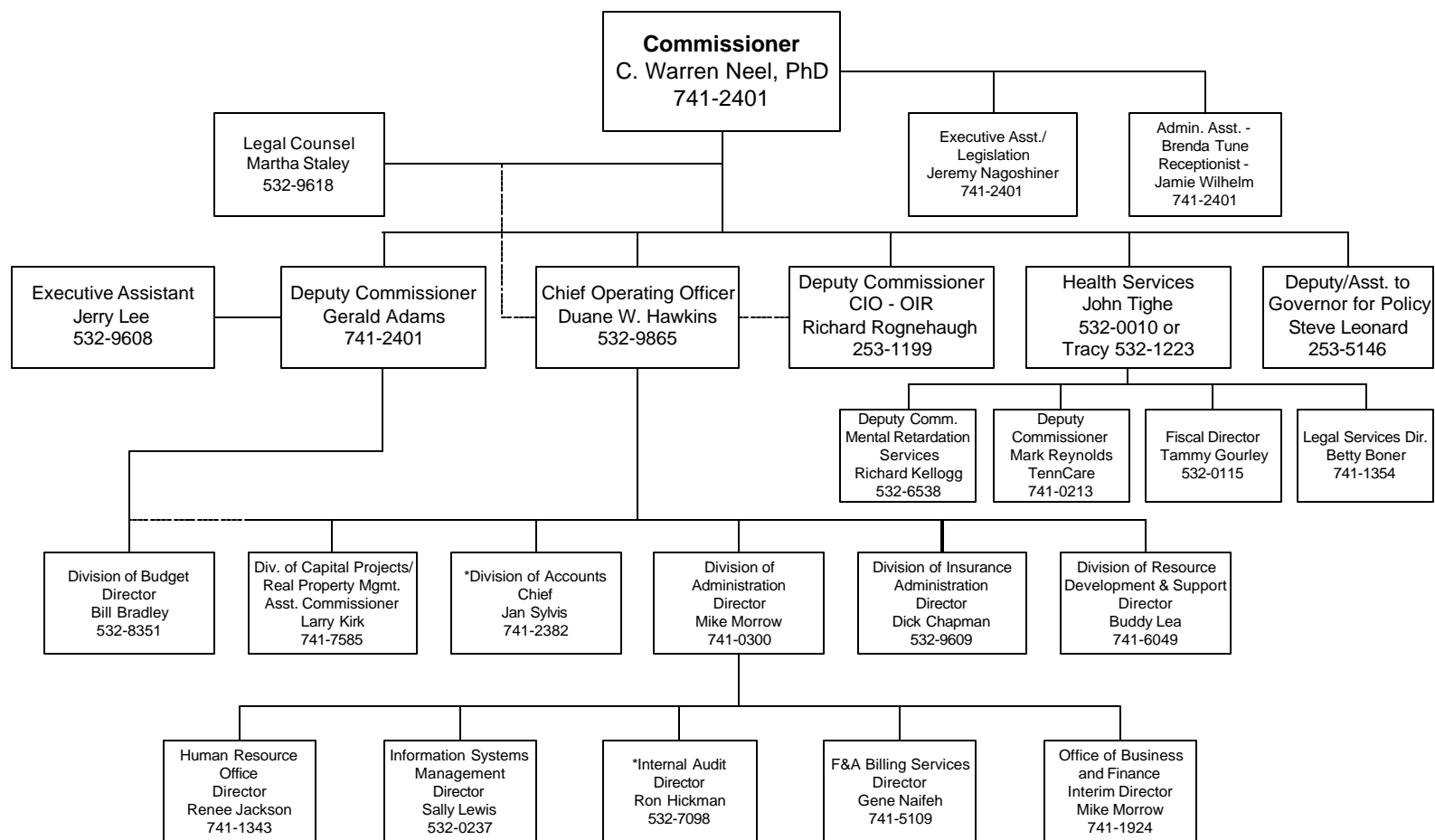
F&A acts as the chief corporate office of state government. Many complex processes are required to achieve this mission. The governor's proposed budget for state government is developed with the oversight of the commissioner, the governor's chief financial officer. The department also manages centralized accounting and financial reporting of the state's financial activity. Other areas, which provide state government with the necessary infrastructure to work effectively, include the Office of Information Resources, Capital Projects Management, Real Property Management, Employee Insurance Administration, and Resource Development and Support.

***Finance & Administration Mission Statement: To provide continually improving financial and administrative support services which enhance state government's ability to improve the quality of life for Tennesseans.***

### 2.2. Programmatic Overview

The Department of Finance and Administration was established by public act in 1961. The responsibilities of the department were originally derived from the Division of Finance and Administration established in 1959 and vested with all the authority, powers, and duties imposed by law on the Department of Budget, the Department of Accounts, and the Office of State Property Administration. The Commissioner of Finance and Administration serves as the Governor's Chief Cabinet Officer. Through the years, the responsibilities of F&A have evolved—reflecting the growing importance of information technology and the Commissioner of Finance and Administration's ever-expanding role as the Governor's chief cabinet officer. The department is comprised of eight major divisions that carry out the F&A's programmatic functions. (Refer to EXHIBIT 1—F&A ORGANIZATION CHART.)

**Department of Finance and Administration**  
**May 2002**



\*These are Operating Divisions: however, policy issues, audits, and special project teams may have direct reporting to the Commissioner's Office

## **2.2.1. Accounts**

*Mission Statement: To provide timely and meaningful financial information and support services to state agencies and other users of financial information by continually improving services.*

The Division of Accounts performs the comptroller functions for the State. These functions include: processing and recording all accounting entries in the state's centralized accounting system, preparation and distribution of the state payroll, cash management advisory services, establishment of state accounting policy and preparation of the State's Comprehensive Annual Financial Report. The Division accomplishes these tasks with 76 employees whose education and experience are primarily in accounting, many with advanced degrees and certifications as public accountants or government financial managers.

The Division is organized into four sections based on functional responsibilities: Policy Development, Cash Management, Payroll and Statewide Accounting. Each section's activities are outlined below.

### **Policy Development**

The Division is responsible for the administration of accounting policy and rule-setting powers granted the commissioner by state law. The Policy Development Section addresses these responsibilities as well as the following:

- Development and administration of accounting policy for the state in accordance with TCA section 4-3-1007, which authorizes the commissioner, with the approval of the comptroller of the treasury, to prescribe accounting policy and procedures for state government.
- Development and administration of the state's comprehensive travel regulations in accordance with TCA section 4-3-1008(3). The commissioner is required to develop, with the approval of the attorney general, rules that govern travel by state employees, officers, and officials. This section also functions as the state's travel office, maintaining contracts with the state's travel agent and for corporate credit cards.
- Development and administration of several state contracts that provide a platform for various business commerce initiatives: revenue maximization, temporary accounting services, and credit card use over the Internet.

### **Cash Management**

The F&A Commissioner is the designated Tennessee official to administer the Cash Management Improvement Act (CMIA). The CMIA was enacted by the federal government in 1990 to provide for interest charges to accrue on cash that is advanced by either the state or federal government for federal programs. The act requires both state and federal agencies to implement systems and procedures to minimize or



eliminate cash positions with each other. US Treasury regulations that govern the application of the CMIA require the state to perform an annual valuation of the state's daily cash position with the federal government. Based upon the analysis of the daily cash positions, interest is paid or received from the federal government.

The Cash Management Section is responsible for the administration of the CMIA for the State. These responsibilities include acting as liaison with US Treasury, development and implementation of CMIA procedures in Tennessee, consultation with state agencies on federal funds drawdown techniques, systems development, and the annual daily cash position analysis. In addition, the Cash Management Section:

- Consults with state agencies to improve the receipt and deposit of cash.
- Calculates the annual State Wide Cost Allocation Plan (SWCAP). The SWCAP is used to distribute indirect costs to state agencies so that a portion of these costs can be reimbursed by the federal government.
- Develops and implements grants management policies and procedures.
- Provides state agencies technical assistance in preparing and negotiating departmental indirect cost plans. These plans allow state agencies to recover federally allowable indirect costs.
- Calculates federally allowable building costs so that state agencies can recover allowable facility costs from federal grantors.
- Calculates general fund billings to select state agencies as required by state legislation.

## **Payroll**

The commissioner is charged by law with the administration of the payroll function for state agencies. The administration of this function is supported by a payroll system that calculates a semi-monthly payroll for the executive branch and a monthly payroll for the non-executive branch. Our payroll system is administered according to federal and state laws and policies for approximately 45,000 state employees resulting in over 1 million payroll transactions annually. The Payroll Section prepares federal tax reporting and distribution of payroll reports and payments. Approximately 88% of the payments are paid through direct deposit.

## **Statewide Accounting**

As the central accounting office for the state, the Division maintains the state's central accounting system called the State of Tennessee Accounting and Reporting System (STARS). All central state agencies access STARS through direct data entry or by interface from agency subsystems. STARS records all revenues and disbursements as well as maintaining accounting entries at various levels of detail. A majority of disbursements are made electronically via automated clearinghouse methods. These

disbursements include employee travel reimbursements, vendor payments and distributions to local governments.

The Statewide Accounting Section audits accounting transactions, processes over 9 million transactions annually, consults with agencies on accounting issues and subsystems, and provides daily and monthly reporting to state agencies. Statewide Accounting also manages the accounting transactions related to the state's e-commerce initiatives: state portal and revenue/expenditure transactions via credit cards. Federal reporting of 1099s (over 35,000 forms annually) also occurs within this section. The section closes the state's financial records and issues the Comprehensive Annual Financial Report (CAFR). Tennessee's CAFR has received the Government Finance Officers Association Certificate of Excellence in Financial Reporting for the last 21 consecutive years.

### **2.2.2. Administration**

*Division Mission Statement: To work in partnership with the Department of Finance and Administration to provide the processes and infrastructure critical to the Department's success.*

*Division Vision Statement: To create a work environment that is customer-focused, challenging, and fun, where everyone enjoys coming to work and feels highly valued.*

The Administration Division comprises five primary interdepartmental support sections. The Human Resources Office has responsibility for providing personnel and payroll services, training and development, and employee relations services. Information Systems Management has responsibility over departmental computer services including host services, client/server services, technical services and production environments. The Office of Business and Finance serves as the financial office for the department. The Office of Internal Audit and Consulting Services performs internal audits of the department's programs. The Office of Billing Services is responsible for invoicing for the state's telecommunications services, computer services, and accounting and reporting system.

### **2.2.3. Budget**

The Budget Division prepares and administers the Governor's annual budget which estimates revenue and expenditures required to run state government. The annual budget document details the estimates of revenue by source and the planned uses of that revenue by functional area of state government. These functional areas are: General Government, Health and Social Services, Education, Resources and Regulation, Transportation, Business and Economic Development, Law, Safety, and Correction.

### **2.2.4. Capital Projects and Real Property Management**

This division manages the implementation of the state's capital projects, programs and related initiatives; and manages the state's real property assets.

*Division Mission: To utilize passion, persistence, and performance in the management of capital initiatives and real property assets for the citizens and State of Tennessee*

*Division Vision: To be a community of dedicated professionals who achieve excellence through continuous improvement*

The division is divided into 2 functional areas: Capital Projects and Real Property Management. Each functional area has three sections.

### **Capital Projects**

Design/Construction Management. The objective of the Design/Construction section is to implement projects authorized by the State Building Commission to achieve the project goals set forth by the Agency and the division's Planning and Procurement Group. This section is responsible for funding approvals, management of the design and construction process, construction document review, construction administration, transitioning the User/Agency into the facility, warranty follow-up, designer and contractor evaluations, and the resolution of any legal issues resulting from the project implementation.

Technical Services Management. The Technical Services Management section is responsible for managing Tennessee Architectural Services (TAS), which provides in-house architectural design services for small construction, re-roofing and renovation projects. This group is staffed with architects that are familiar with state government and its building inventory and is structured to respond to immediate needs in short time frames. This section also manages the State Building Energy Management Program, which provides programs to improve the energy efficiency of state buildings. Its mission is to introduce, initiate and implement programs that will reduce energy consumption and costs in buildings operated and maintained by state agencies. The program also reports energy consumption and costs for state buildings annually. Technical Services Management also manages construction related environmental issues and federal regulations.

Planning and Procurement Management. The Planning and Procurement Management section is responsible for assisting agencies in the development of strategic plans for capital initiatives, developing and issuing Requests for Proposal (RFP), managing scope-budget reconciliation, and providing administration of the bid and contract award processes for designer, construction, consultant and special contracts.

### **Real Property Management**

Real Estate Management. The Real Estate Management section is responsible for the acquisition, disposition and record retention of the state's real property assets through

lease, sale, or purchase. The mission of this section is to handle these transactions timely and in a professional manner.

Asset Management. The Asset Management section is responsible for maximizing the cost effectiveness of housing state government. This includes statewide space planning, cost benefit analysis, centralization strategies, budgeting and management of the Facilities Revolving Fund and the evaluation of operation and maintenance functions. Their mission is to provide accurate, detailed and understandable data to enable management to make enlightened business decisions.

Facilities Management. The Facilities Management section is responsible for interior design, space planning, furniture administration, move administration, and provides interior construction coordination services to state agencies. Their mission is to provide state agencies and their employees with safe, efficient, and cost-effective workspace.

## **2.2.5. Insurance Administration**

The Division of Insurance Administration manages insurance plans for three distinct public sector employer groups in Tennessee. The State Plan provides health and life insurance benefits to state employees and faculty and support staff at the State's higher education institutions. Over 125 school systems secure health insurance for instructional and non-instructional employees through the Local Education Plan. The Local Government Plan is available to counties and municipalities as well as qualified quasi-governmental entities. Over 131,00 employees and retirees participate in one of the three plans providing health coverage to over 250,000 individuals.

State employees have access to an employer sponsored health promotion program and each of the health plans includes an employee assistance program in the integrated mental health benefits package.

Additionally, the Division manages a Medicare Supplement Plan that offers three levels of coverage to qualified retired teachers and state employees. Over 22,000 individuals are covered by the Medicare Supplement coverage

*Division Mission: We offer public sector employees benefits and information which enhance quality of life, represent real value and provide a sense of security.*

*Division Vision: We establish the standard for top quality benefits by focusing on innovative approaches and commitment to customer service and satisfaction. We work as a cohesive team in which all employees are valued.*

The Division of Insurance Administration strives:

- To offer quality, competitive benefits that meet the needs of our customers.

- To maximize the operational efficiency and effectiveness of division processes.
- To provide innovative programs and information that encourage plan participants to be wise consumers and manage their own personal health and well being.
- To manage administrative and benefits costs within a range of acceptability for the State and plan participants.
- To create a working environment that fosters commitment to innovation and willingness to change.
- To maintain program and financial integrity.
- To use continuous improvement principles and strategic planning principles as our primary way of doing business.

## **2.2.6. Office for Information Resources (OIR)**

*Division Mission: The Mission of OIR is to provide leadership and support in creating an environment and information infrastructure in which value adding information systems, computing services and communications technologies are provided that assist government in delivering quality services to Tennesseans.*

*Division Vision: The Vision of OIR is to be the enabling organization in transforming information technology into valued services to Tennesseans.*

OIR provides the information and telecommunication infrastructure for the state. This infrastructure provides support for the departments as they deliver services. OIR operates the state's data center and provides computer procurement and support services for the various agencies and departments. The division also develops and coordinates the implementation of the state's Management Information Systems Plan.

The Division is organized into ten sections based on functional responsibilities: Customer Service, Systems Development and Support, Telecommunications, Technical Systems Support, Planning, Research and Development, Quality Assurance, Database Administration, Operations, Administration (Chief of OIR and staff), Geographic Information Systems (GIS). Each section's activities are outlined below.

### **Customer Service**

Customer Service ensures our customers receive services they require to support their business function and minimize the impact of problems affecting the performance of their service delivery systems.

*Mission: To ensure that our customers receive the services they require to support their business functions, and to minimize the impact of problems affecting the performance of their service delivery systems.*

*Vision: To be recognized throughout state government as a team of service professionals dedicated to the continuous improvement of the level and quality of services offered by OIR.*

## **Quality Assurance**

Quality Assurance provides leadership and support in providing quality information systems for the State. QA supports all OIR sections, State ISM departments and vendors in creating an environment that promotes quality. QA focuses on planning for and building in quality rather than “tacking it on” through after-the-fact inspection.

*Mission: To enable OIR to provide more efficient and effective information resources and services to its customers.*

*Vision: To enable OIR to be the service organization of choice for addressing the information systems needs of State government.*

## **Planning, Research and Development**

Planning, research and development promotes business and information systems planning and manages information technology research and development projects.

*Mission: To enable our customers to meet their business objectives by promoting business and information systems planning and managing research and development projects on new information technologies.*

*Vision: To lead the State of Tennessee in excellence in information systems planning and becoming more proactive in the evaluation and implementation of new information technologies.*

## **Network Infrastructure & Communications Services**

Network Infrastructure & Communications Services provides continually improving telecommunications services in partnership with State and local government, contributing to the delivery of quality services to all Tennesseans.

## **Data Administration**

Data Administration addresses the need for OIR to provide the environment, tools and organization to enable data to be defined, organized and stored so that it is available to aid all State business processes. DBA provides both data and database services.

*Mission: Provides continually improving data resource management support for State agencies in order to promote and maximize the beneficial use of data as a valuable statewide resource.*

## **Technical Systems Support**

Technical Systems Support provides technical support and resources that promote the delivery of quality services to users of State information systems.

*Mission: To provide technical support and resources that promote the delivery of quality services to users of the state information systems.*

*Vision: To be the acknowledged leaders in creating and supporting innovative, technically sound and seamless information systems environment.*

## **Systems Development and Support**

Systems Development and Support provides development and support of information systems in partnership with our customers and the OIR community, enabling the delivery of quality information services to the citizens of Tennessee.

*Mission: To provide continually improving development and systems support of information systems in partnership with our customers and the OIR community, enabling the delivery of quality information services to the citizens of Tennessee.*

*Vision: Committed to Excellence.*

## **Operations**

Operations meets the needs of customers by providing data processing services through the proper utilization and management of available resources.

*Mission: To meet the needs of our customers by providing data processing services through proper utilization and management of available resources.*

*Vision: To be an organization that provides an open, positive, challenging environment that promotes personal growth and the motivation to support our mission.*

## **Geographic Information Services**

Geographic Information Services facilitates efficient, effective management of human, cultural, financial and natural resources of the State by providing technical, management and administrative services to GIS users across the state.

*Mission: To provide the highest possible quality geospatial services to users within the State of Tennessee in a timely fashion as economically as possible.*

## **2.2.7. Resource Development and Support (RDS)**

*Mission: The Division of Resource Development and Support, in partnership with public and private agencies, provides support services to promote the efficient and effective management of state resources.*

*Vision: Building excellence in resource management through services that make a difference!*

RDS provides support services to public and private agencies and grant sub-recipients to promote quality management of state resources through the division's four units: Contracts Review, Criminal Justice Programs, the Commission on National and Community Service, and Program Accountability Review.

### **Contracts Review**

Under the authority of *Tennessee Code Annotated*, §12-4-109, the Rules of the Department of Finance and Administration, Chapter 0620-3-3 created the Service Contract Office. The duties of the Service Contract Office have been expanded significantly and the office, now known as the Office of Contracts Review (OCR), serves as the main point of contact and authority, subject to the approval of the Commissioner of Finance and Administration, regarding all matters subject to service contracting rules. The Office of Contracts Review is responsible for:

- executing the Rules of the Department of Finance and Administration, Chapter 0620-3-3;
- acting on behalf of the Commissioner of Finance and Administration in making determinations required by service contracting rules;
- formulating policies governing personal, professional, or consultant service procurements and contracts in accordance with Finance and Administration rules;
- providing technical assistance to state agencies regarding service procurements and the formulation and execution of contracts governed by service contracting rules;
- providing coordination services for the review and approval of service contracts in accordance with service contracting rules and policies;
- administering a system for registering service providers who may contract with the state; and
- providing analysis and support to the Commissioner and General Counsel of Finance and Administration regarding state procurement processes.



## **Office of Criminal Justice Programs (OCJP)**

OCJP provides program management, coordination and planning in partnership with public and private agencies to support ongoing efforts to reduce illegal drugs and a spectrum of other criminal activities in addition to providing support services to victims of crime. In that capacity OCJP administers the following grant programs:

- Edward Byrne Memorial Grant Program—a formula grant program, assists state and local criminal justice agencies in reducing illegal drug and violent crime activities. Some special issues addressed by this program include improvement of criminal history records in Tennessee, community policing, domestic violence prevention and intervention, school violence prevention, drug offender prosecution and treatment, and correctional systems improvement.
- Residential Substance Abuse Treatment Program(RSAT)—provides for substance abuse treatment programs for state and local prisoners in state and local correctional facilities.
- Victims of Crime Administration (VOCA)—provides high quality services that directly improve the health and well-being of victims of crime with priority given to victims of child abuse, domestic violence, and sexual assault and services for previously under-served victims.
- Family Violence Services—a federal program funded through the Department of Health and Human Services, supports domestic violence shelters and the work they do across the state of Tennessee.
- Criminal History Records Improvement Task Force—OCJP is the sponsor of the state level interagency task force that is determining how to improve the collection and reporting of criminal histories throughout the criminal justice system in Tennessee. OCJP administers grant funds and coordinates activities statewide to improve this system.
- STOP Violence Against Women Program—OCJP is the coordinating and planning agency for Tennessee's STOP Violence against Women Program. A state level interagency planning group has been convened to determine how to improve the criminal justice system's response to this problem. OCJP administers grant funds to support this effort.
- Safe Neighborhood Act of 1998 (SAFE)—makes state funding available to assist local law enforcement agencies that are actively participating in or making application for the COPS Universal Hiring Program administered through the U.S. Department of Justice. This SAFE funding covers 10% of the total grant thereby reducing the 25% local match requirement to 15%.

## **Program Accountability Review (PAR)**

Department of Finance and Administration Policy 22 requires state agencies that fund sub-recipients to develop a plan to address their monitoring needs. PAR was established to ensure a coordinated approach to monitoring within the state. The primary objective of a coordinated approach to monitoring within the state is to increase the level of and to encourage uniform monitoring of sub-recipients regardless of the state and/or federal program. Toward that end, PAR:

- manages the implementation of a statewide coordinated monitoring system;
- consolidates and centralizes monitoring activities and staff;
- provides monitoring services to other state agencies;
- reviews and approves state agency monitoring plans;
- provides training and technical assistance on fiscal and program monitoring issues;
- works to establish a sub-recipient management information database.

### **Tennessee Commission on National and Community Service**

The commission administers three programs:

- AmeriCorps—the new “domestic Peace Corps” where many Tennesseans are getting things done through service in exchange for help financing their higher education or repaying their student loans. AmeriCorps seeks to harness the energy and idealism of Tennesseans who are dedicated to making their communities and the country a better place to live. Tennessee has 14 AmeriCorps programs across the state.
- Learn and Serve—programs by which students learn and develop through active participation in thoughtfully organized service experiences that meet actual community needs. Service experiences are coordinated in collaboration with the school and community. The service experience is integrated into the students’ academic studies with structured time for students to research, reflect, discuss, and connect their experiences to their own lives in a meaningful way. In Tennessee, twenty grants are given to community based non-profit organizations which work with school systems to develop hands-on learning programs that complement academic curricula. Participants are students identified as “at risk” collaboratively by the non-profit organizations and the school systems.
- Points of Light Foundation YES Ambassador—Tennessee is one of ten states nationally to receive a competitive award from the Points of Light Foundation. A foundation youth employee is assigned to the Commission to advance youth service.

The youth is involved with statewide 4-H initiatives and Tennessee Safe and Drug Free Schools and Communities.

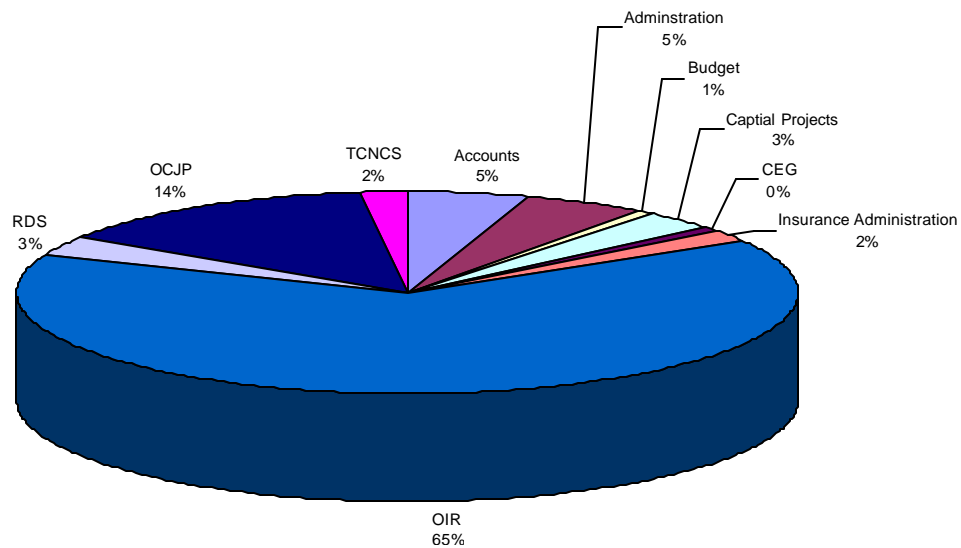
### **2.3. Budget Overview**

The Department of Finance and Administration's operational budget for fiscal year 2003 is \$222,075,000.00. This total budget amount is comprised of:

- State Appropriation
- Interdepartmental Revenue
- Current Services Revenue
- Federal Funding

EXHIBIT 2—F&A BUDGET (FY 2002) provides a breakdown of the departmental budget by division and source.

## EXHIBIT 2— F&A BUDGET (FY 2002)



	State	Inter-Departmental	Federal	Total
Accounts		10,566,300		10,566,300
Administration	1,807,900	9,299,300		11,107,200
Budget	2,071,600			2,071,600
Capital Projects	2,537,900	3,922,800		6,460,700
Insurance Administration		3,870,000		3,870,000
OIR	2,500,000	143,970,000		146,470,000
RDS	922,900	6,366,600		7,289,500
OCJP	1,766,500	1,040,000	27,866,100	30,672,600
TCNCS	206,500	99,800	4,896,600	5,202,900
<b>TOTAL</b>	<b>11,813,300</b>	<b>179,134,800</b>	<b>32,762,700</b>	<b>223,710,800</b>

From Governor's Proposed Budget Fiscal Year 2002-2003

## **2.4. Resources Committed to *Title VI* and *Title IX* Compliance**

The Department of Finance and Administration has committed significant resources to program areas with a direct impact on *Title VI* and *Title IX* implementation planning and compliance review efforts as well as the intents and purposes of those mandates. In fiscal year 2000-2001, the *Title VI* and *Title IX* coordination function was added to the responsibilities of an Office of Contracts Review staff person. Since that time, the coordinator role has been performed on an interim basis by Buddy Lea, Director of the Division of Resource Development and Support. This division includes the Office of Contracts Review, as well as the two grant managing units in the department and the grant monitoring unit. Further, each Division Executive is responsible for implementation, compliance, and data collection in their respective areas. In both instances the costs associated with such activities is derived from the Office of Contracts Review and respective division budgets.

The department's Service Provider Registry System is a very significant commitment of resources toward supporting the aims of *Title VI* and *Title IX*. The SPRS is a comprehensive system designed to facilitate the participation of disadvantaged, minority, and small business entrepreneurs in the state's procurement processes as well as to enhance competition in Tennessee's service procurements. Its establishment is a major initiative of the State of Tennessee under the direction of the Department of Finance and Administration Office of Contracts Review. Through the SPRS, the ownership and control characteristics of all actual and potential service providers are identified and registered. The practicality of SPRS is that it provides Tennessee State agencies with a database of potential service providers. It also provides equitable opportunity to disadvantaged service providers to register and vie for government contracts. The system enhances current procurement processes by providing state agencies with access to important information while maintaining the decentralized system of service procurement.

Additionally, the department's Office of Program Accountability Review (within the Division of Resource Development and Support) is responsible for statewide monitoring of Subrecipient contracts. As a part of the program reviews, Program Accountability Review monitors certain aspects of subrecipients' compliance with Civil Rights Law including *Title VI* and IX. The agreements between F&A and other state agencies determine the extent and character of these compliance reviews and any resulting coordination required with agency Title VI Coordinators.

## **2.5. Federal Funding Types**

Only two sections of F&A receive and administer funding directly from the federal government. The federally funded sections—the Office of Criminal Justice Programs (OCJP) and the Tennessee Commission on National and Community Service (TCNCS)—are both components of the Resource Development and Support Division.

OCJP uses its federal and state funding to improve the overall functioning of the criminal justice system in Tennessee through a myriad of local and state projects. As

described in section 2.2 of this document, the federal funding sources administered by OCJP are:

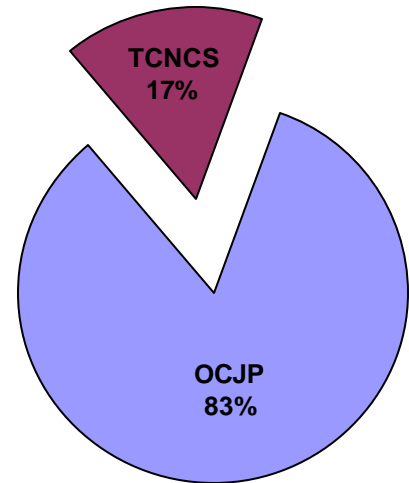
- Edward Byrne Memorial Grant
- STOP Violence against Women Grant
- National Criminal History Records Grant
- Residential Substance Abuse Treatment Grant
- Family Violence Grant
- Local Law Enforcement Block Grant
- VOCA Grant

As described in section 2.2 of this document, TCNCS uses its federal and state funding to support the AmeriCorps program, the “domestic Peace Corps” where many Tennesseans provide community service in exchange for help financing their higher education or repaying student loans.

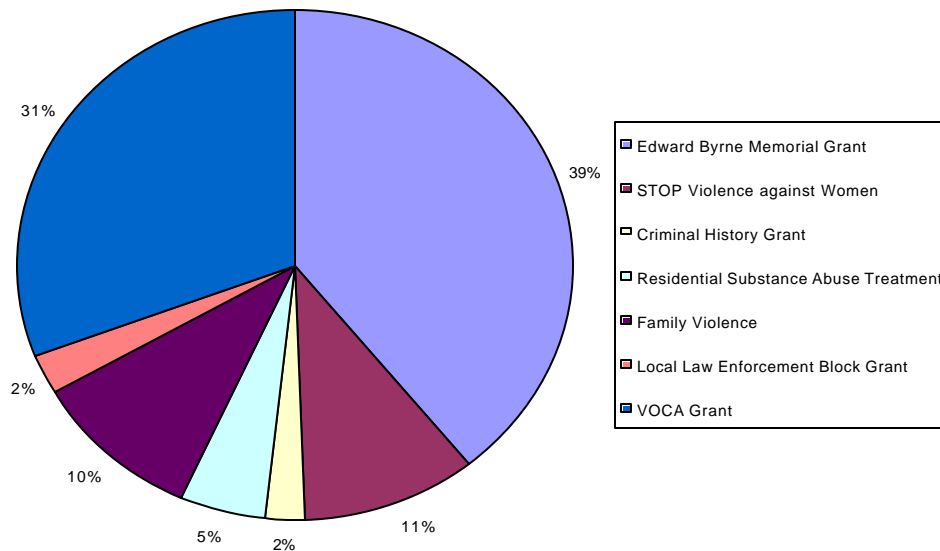
EXHIBIT 3—F&A FEDERAL FUNDING provides a breakdown of F&A’s federal funding by source and recipient program area.

## EXHIBIT 3— F&A FEDERAL FUNDING

FEDERAL FUNDING SOURCE	OCJP	TCNCS
Edward Byrne Memorial Grant	9,586,474.00	
STOP Violence against Women	2,588,000.00	
Criminal History Grant	531,000.00	
Residential Substance Abuse Treatment	1,181,689.00	
Family Violence	2,484,135.00	
Local Law Enforcement Block Grant	599,135.00	
VOCA Grant	7,590,000.00	
AmeriCorps		4,872,600
<b>TOTAL</b>	<b>24,560,433.00</b>	<b>4,872,600</b>



### OCJP FEDERAL FUNDING



## **2.6. Contracted Program Overview**

The Department of Finance and Administration carries out its responsibilities through both its own administrative and program staff as well as through contracted programs. The contracted programs are vital to F&A's success in a number of program areas and account for a significant portion of departmental resources.

APPENDIX 1—F&A PROFESSIONAL SERVICE CONTRACTORS/GRANTEES for information about F&A contractors.

### **2.6.1. Subrecipients and Vendors**

The department's contracts are representative of both "Subrecipient" and "vendor" relationships. In those cases in which a contract (or grant) creates a "Subrecipient" relationship as opposed to a "vendor" relationship (as defined by OMB Circular A-133), the contractor is deemed a Subrecipient with unique obligations to the state and federal government including compliance with Title VI and Title IX requirements. (Refer to section 4.5 for a definition of "Subrecipient" and to APPENDIX 1 for information as to which F&A contractors are Subrecipients.)

### **2.6.2. Methods of Disbursements**

The Department disburses funds primarily through contracts, grants, and direct appropriations. F&A contract disbursements are processed as follows: (1) A valid contract must be approved and in place in STARS; (2) Invoice for service or expenses is received to be paid by F&A; (3) Amount is compared to contract for validity and budget balance, then approved to process; (4) Invoice is authorized for payment and entered into STARS for payment; (5) STARS processes payment on due date and issues a check warrant, or ACH according to the payment plan set up in the contract.



### **3. APPROACH AND ORGANIZATION**

#### **3.1. Responsibilities**

(Refer to EXHIBIT 4—TABLE OF EXECUTIVE TEAM AND COORDINATOR RESPONSIBILITIES)

##### **3.1.1. Title VI and Title IX Compliance**

The Commissioner of Finance and Administration is responsible for departmental compliance with the provisions of *Title VI of the Civil Rights Act of 1964* and *Title IX of the Education Amendments Act of 1972*.

##### **3.1.2. Title VI and Title IX Policy**

The department's Executive Leadership Team (ELT), comprised of the Chief Operating Officer and the eight Executives of the departmental divisions, is responsible for establishing departmental *Title VI* and *Title IX* policy.

##### **3.1.3. Compliance Review and Implementation Plan Coordination**

###### **Authority and Organizational Environment**

The Division of Resource Development and Support (RDS), the workplace of the Coordinator of this plan, is responsible for promoting efficient government through the effective use of diversity, results-oriented service procurement, and sound financial and grant management practices. RDS's functional areas with statewide impact include:

- Procurement and Contracting Information and Support
- Service Procurement Review and Oversight
- Service Provider Registry System
- Federal Funds Application Registry
- Centralized monitoring of grant subrecipients' compliance with state and federal programs both fiscally and programmatically

RDS's Office of Contracts Review mission is to provide leadership, expertise, information, and oversight to promote efficient government with the tools of diversity and service contracts, which enable state agencies and their contractors to define and achieve quality results. Its vision is to advance government excellence with the effective use of diversity; innovative, collaborative, results-oriented, service procurement; and, associated financial management practices.

## EXHIBIT 4—TABLE OF EXECUTIVE TEAM AND COORDINATOR RESPONSIBILITIES

Executive Team	Coordinator
<i>F&amp;A Commissioner &amp; Executive Leadership Team leads &amp; manages plan implementation</i>	<i>The Coordinator supports the department with planning and compliance review.</i>
<b><u>Plan Development</u></b> Establish values, policy, & goals	<b><u>Plan Development</u></b> Ensure participation of "protected beneficiaries" in planning Develop values, policy, goals, & strategies Describe F&A process for managing concerns about diversity issues Describe F&A process for managing Subrecipient compliance Identify baseline data for collection Develop compliance review & evaluation process
<b><u>Plan Implementation</u></b> Communicate values, policy, & goals Manage implementation corporately & by division through span of control Collect baseline & compliance review data Manage F&A process for managing concerns about diversity issues (considering suggestions & adjudicating complaints) Manage F&A process for managing Subrecipient compliance Participate in training Manage public notification of plan, values, & F&A process for managing concerns about diversity issues	<b><u>Plan Implementation</u></b> Coordinate training Plan public notification of plan, values, & F&A process for managing concerns about diversity issues
<b><u>Compliance Review</u></b> Review periodic compliance review data Prescribe improvement strategies Manage implementation of improvement strategies	<b><u>Compliance Review</u></b> Schedule periodic & annual compliance reviews Analyze compliance review data & general data reflecting performance Evaluate plan implementation & management Evaluate Subrecipient compliance management Develop improvement strategies Report periodic review data & evaluations to Executives
<b><u>Evaluation</u></b> Ensure F&A compliance with legal requirements & exemplary achievement through program diversity Manage continued implementation & implementation of improvement strategies	<b><u>Evaluation</u></b> Report annual compliance review data & evaluation to F&A Executives, Human Rights Commission, General Assembly, "Protected Beneficiaries," & Citizens Develop continued implementation & improvement strategies

RDS's Service Provider Registry System (SPRS) fosters Tennessee State government's utilization of disadvantaged, minority, and small businesses and promotes competition in service procurements by registering ownership and control characteristics of potential service providers. The registry system envisions supporting Tennessee's service procurement processes in buying the best services at the best prices and providing disadvantaged, minority, and small businesses and non-profit organizations with increased opportunity to do business with the state and enjoy any resulting economic advancement.

### **3.1.4. Compliance Review and Implementation Plan Performance**

Each F&A Division Executive is responsible for *Title VI* and *Title IX* plan goals, objectives, implementation and related performance, respectively, within each of the eight operational areas of the department.

### **3.2. Resource Commitment**

F&A will continue to devote significant resources to program areas with direct impact on *Title VI* and *Title IX* planning, implementation, compliance review, and enforcement.

Accordingly, the Office of Contracts Review, Service Provider Registry System Coordinator will continue to work closely with the Title VI and Title IX Coordinator and each Division Executive will be responsible for implementation, compliance, and data collection in their respective areas. In both instances the costs associated with such activities will be absorbed by the Office of Contracts Review and respective division budgets.

Though young in its implementation, the Service Provider Registry System (SPRS) is able to provide valuable business utilization data to all state agencies. This data will empower all agencies as they examine indicators of *Title VI* and *Title IX* compliance and progress. The implementation cost associated with SPRS staffing and its Internet based technical system exceeded \$200,000.00 of the F&A budget.

Monitoring of Subrecipient contracts is the ongoing responsibility of the department's Office of Program Accountability Review (PAR). PAR will contribute to the effort of monitoring *Title VI* and IX compliance by Subrecipients contracting with the state through its centralized monitoring approach.

### **3.3 “Protected Beneficiary” Representatives Involvement**

The involvement of protected beneficiary groups in Title VI and Title IX implementation planning is an extremely important factor in the overall success of the program in that it allows the Department of Finance and Administration to work with a diverse pool of people who can help to identify and address the issues of concern to those groups. It is also highly beneficial to the Department to create and maintain meaningful working relationships with key representatives from these community groups.

The purpose of Protected Beneficiary involvement is to learn and understand some of the concerns of the protected beneficiary groups affected by Title VI and Title IX compliance and to receive input that is reflective of those concerns. Effort has been made to utilize where practical, input gained from representatives of the beneficiary groups affected by the Title VI and Title IX implementation to assist in the planning and annual compliance reviewing processes.

F&A has made contact with key representatives of protected beneficiary groups and enlisted their commitment to providing input that will prove beneficial to the successful development of the Title VI and Title IX implementation.

A survey instrument was developed to be used as a tool in educating protected beneficiary feedback on the necessary components of an effective Title VI and Title IX implementation Plan and sent to key representatives of protected beneficiary groups. The results of those surveys were analyzed to determine the components of the plan which respondents indicate are of most importance to members of protected beneficiary groups.

See APPENDIX 2— PROTECTED BENEFICIARY SURVEY and APPENDIX 3— PROTECTED BENEFICIARY GROUPS SURVEYED for more information.

### **3.4 Planning and Implementation**

Planning and implementation of F&A's efforts with regard to *Title VI* and *Title IX* compliance is an ongoing process.

First, understanding that the strategies for success with both *Title VI* and *Title IX* will be similar, this effort consolidates the planning, implementation, and compliance review associated with both. Second, F&A will continue to refine the approach of emphasis on implementation follow-through and performance measurement through data collection and analysis. We have attempted to draft a plan that meets the needs of our department in proactively achieving the intents and the positive business results of *Title VI* and *IX* requirements. *Title VI* and *Title IX* focus not only on nondiscrimination, but also equity, access, diverse perspectives, quality of service, employee and community involvement, and a positive, professional way to act and interact with one another. This recognition results in a commitment to implementation follow-through and performance measurement as critical factors of success.

This plan represents our renewed commitment to Title VI and Title IX. Learning more about the requirements of *Title VI* and *Title IX* as a good business approach continues as a process. Implementing performance measures is never an easy process, and this plan reflects our rekindled dedication to doing so. Further, reaching out for the insights and involvement of those representing protected beneficiaries has been less fruitful than we had expected. The dialog and positive approach needed for success are not achieved without time, patience, and commitment. Thus, while this compliance review and implementation plan reflects continued "first steps," we believe these to be steps in

the right direction and we are proud of the new context, that this plan represents, for F&A executives to guide successful *Title VI* and *Title IX* implementation and review.

### **3.5 Compliance Review**

With this somewhat different direction with regard to *Title VI* and *Title IX* implementation, compliance review becomes crucial to successful implementation. It will be carried out in such a way as to permit periodic review, analysis, and course corrections toward the ultimate goal of successful *Title VI* and *Title IX* compliance, implementation and the achievement of benefits derived therefrom.

### **3.6 Enforcement**

F&A recognizes that enforcement with regard to *Title VI* and *Title IX* must be, at least, two fold. Since responsibilities are carried out both through departmental administration and through Subrecipient contracts, enforcement processes must be tailored to each.

With regard to departmental employees, standard state personnel regulations govern and are considered adequate for purposes of enforcement. Nevertheless, this process must be coupled with continuously improving communication directed to supervisors and non-supervisors. Further, it may be reasonable to add Title VI and Title IX enforcement elements to the department's strategic plan so that there is a clear priority and accountability process with regard to implementation.

Regarding Subrecipients, F&A is committed to improving all aspects of contract management. In doing so, special attention will be focused on not only the requirement and encouragement of *Title VI* and IX compliance but also its enforcement. Current processes for compliance include attempting to obtain voluntary compliance, taking action to mandate compliance, and seeking termination of federal funding.

## **4. POLICY AND GUIDELINES**

### **4.1. Encouraged Practices**

The Department of Finance and Administration is committed to establishing the highest quality working relationships that we share with each other, our service providers and citizens. We believe that maximum and proactive effort in the area of diversity and non-discrimination will prove conducive to the achievement of those quality relationships. The following are values upon which we base this effort:

- **Honesty**—We place a great deal of worth on the importance of honesty and integrity. The success of an effective implementation plan is contingent upon the establishment of productive relationships in which truth and honesty are paramount.
- **Commitment/Dedication**—The success and effectiveness of this implementation plan and any program lies largely with the level of commitment and dedication that those fostering its growth possess. We in the Department of Finance and Administration are dedicated to the successful daily implementation of this plan and these stated values as well as the achievement of our program mission and vision.
- **Appreciation**—We believe that in order to truly serve as an advocate and a catalyst for improvement that you must first develop an appreciation for the worth of the improvement that you seek to achieve. We appreciate the value of diversity and the infinite potential for advancement that diverse contributions represent.
- **Awareness**—The development of improved working relationships depends upon the knowledge and awareness that improvement is warranted. We strive to be ever cognizant of the need to improve and to the development of innovative mechanisms to effectuate that improvement.
- **Progressiveness**—We value the importance of diversity and different perspectives. We strive to be a herald in Tennessee State Government for the recognition and appreciation of innovative and different mechanisms for building and maintaining quality relationships with all people.

### **4.2. Prohibited Practices**

Prohibited practices (either by departmental or Subrecipient staff) include but are clearly not limited to:

- denying any individual any services, opportunity, or other benefit for which he or she is otherwise qualified;  
(example: A potential female, AmeriCorps participant who meets all program admission requirements is denied access to the program because of gender.)
- providing any individual with any service or other benefit which is different or is provided in a different manner from that which is provided to others under the

program;

(example: An African American business owner is asked to submit a proposal in person while other respondents are allowed to submit by mail.)

- subjecting any individual to segregated or separate treatment in any manner related to his or her receipt of service;  
(example: All Latino recipients of Victim Services through the Office of Criminal Justice Programs are required to pay for services.)
- restricting any individual in any way in the enjoyment of services; facilities; or any other advantage, privilege, or other benefit provided to others under the program;  
(example: Visually impaired participants are excluded from participating in special events where participation is limited to selected participants.)

### **4.3. Requirements Relating to Covered Employment**

Every newly hired F&A employee, during an orientation session, usually conducted on the first day of work, receives an employee manual which contains the following information regarding Title VI:

*Title VI of the Civil Rights Act of 1964 prohibits discrimination in federally assisted programs. It states: No person in the United States shall, on the ground of race, color, or national origin be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal assistance. Every Finance and Administration employee is expected to comply with Title VI in conducting departmental business.*

In addition, a fact sheet on Title VI is posted in a prominent place in the Finance and Administration Human Resource Office.

Any complaints regarding Title VI and Title IX may be filed with the department Human Resource Office and an investigation and appropriate corrective action will be initiated in a timely fashion. Refer to Remedial action for non-compliance with both Title VI and IX is covered in the department Title VI complaint process.

Further, the Department of Finance and Administration Employee handbook details the Departments expectations of employees with regard to Title VI and Title IX and employee responsibilities with regard to each. The handbook further details steps to be followed in order to initiate the Title VI or Title IX complaint process.

### **4.4. Issues Resolution**

Employee, Subrecipient, and program beneficiary involvement is integral to the F&A's compliance with *Title VI* and *Title IX* intents and requirements. A high level of participation and recognition of the importance in these areas of nondiscrimination is a major way in which greatest success can be achieved. Consequently, while the maintenance of complaint processes is important, F&A will strive toward implementation

of a broader concept—Issues Resolution. Through this broader perspective, employees, Subrecipients, and program beneficiaries can be encouraged to share ideas, issues, suggestions, thoughts, and improvements regarding *Title VI* and *Title IX* compliance in a receptive environment in which every issue is seen as an opportunity.

#### **4.4.1. Departmental Complaint Procedures**

A complaint alleging discrimination against a division or entity of the Finance and Administration program delivery system may be filed internally with management of the subject division, the Director of Human Resources, the Chief Operating Officer, or the Commissioner. A complaint may also be filed externally with the Tennessee Human Rights Commission or with the Regional Division of the U.S. Office of Civil Rights in Atlanta, GA.

Complaints must be filed in writing. Using EXHIBIT 5—F&A COMPLAINT DOCUMENTATION FORMAT as a guide, any F&A supervisor may assist in the necessary documentation.



## EXHIBIT 5—F&A COMPLAINT DOCUMENTATION FORMAT

<b>DEPARTMENT OF FINANCE AND ADMINISTRATION</b> <b>DOCUMENTATION OF COMPLAINT</b> <i>pursuant to Title VI of the Civil Rights Act of 1964 or Title IX of the Education Amendments Act of 1972</i>		
NAME (of person making the complaint)		
	ADDRESS	
	TELEPHONE (business)	
	TELEPHONE (home)	
<u>DESCRIPTION OF THE COMPLAINT:</u> (describe what happened and who you believe was responsible)		
<u>APPARENT BASIS OF THE DESCRIBED SITUATION:</u> (select all that apply and explain)		
<input type="checkbox"/> race <input type="checkbox"/> national origin <input type="checkbox"/> gender <input type="checkbox"/> visual impairment		
DATE DESCRIBED SITUATION OCCURRED:		
NAME OF ORGANIZATION INVOLVED IN THE COMPLAINT:		
	ADDRESS	
	TELEPHONE (business)	
	TELEPHONE (home)	
PERSON INVOLVED (if other than complainant)		
	ADDRESS	
	TELEPHONE (business)	
	TELEPHONE (home)	
HAS THE COMPLAINT BEEN FILED THROUGH ANOTHER GRIEVANCE OR COMPLAINT PROCESS? IF SO, EXPLAIN AND PROVIDE CURRENT STATUS OF SUCH:		
<input type="checkbox"/> YES <input type="checkbox"/> NO		
Signature		Date
* attach any written materials or other information relevant to the complaint		

Any complaint filed within the Department of Finance and Administration will be remanded to the appropriate F&A Division Executive. The Division Executive has the primary responsibility for investigating complaints and reporting findings to the Commissioner and the *Title VI* and *Title IX* Coordinator.

A complainant may appeal a finding made by the F&A Division Executive to the Chief Operating Officer. This appeal constitutes the second level in the department's internal complaint process. Additionally, a complainant may appeal a finding made by the Chief Operating Officer to the Commissioner. An appeal to the Commissioner constitutes the third and last level in the department's internal complaint system.

Upon an appeal, the Director of Human Resources, the Title VI and Title IX Coordinator, and the F&A General Counsel will assist the Chief Operating Officer and the Commissioner in reviewing the matter and making determinations. Procedures can include, but are not limited to discussing the complaint with the complainant, the alleged offender, the initial recipient of the complaint, and the F&A authority whose finding is appealed.

According to federal regulations, a complaint to the U.S. Commission on Civil Rights must be filed no later than 180 calendar days after the alleged discrimination occurred. Thus, to accommodate sequential external complaint filing should the complainant wish to file a complaint with the federal authority, the following schedule of time limits must be followed in the filing, appeal, and disposition of a complaint.

1. no later than 30 calendar days after the alleged discrimination occurred— a complainant must file a written complaint within F&A;
2. no later than 30 calendar days after the written complaint is filed within F&A—the subject Division Executive shall review and investigate the complaint and issue a written determination of findings and, if there is a finding of *Title VI* or *Title IX* violation, proposed remedial action (information regarding appeal rights shall also be provided at that time);
3. no later than 20 calendar days after the Division Executive's written determination—the complainant may file a written appeal, with the Chief Operating Officer, of a Division Executive's findings or proposed remedial action;
4. no later than 30 calendar days after the appeal is filed with the Chief Operating Officer—the Chief Operating Officer shall review and investigate the complaint and issue a written determination regarding the appeal;
5. no later than 20 calendar days after the Chief Operating Officer's written determination—the complainant may file a written appeal, with the Commissioner, of the Chief Operating Officer's findings or proposed remedial action;

6. no later than 30 calendar days after the appeal is filed with the Commissioner—the Commissioner shall review and investigate the complaint and issue a written determination in the matter ;

If a complainant remains unsatisfied with the findings or the proposed remedial action, the complainant will still have time to file externally, with the U.S. Commission On Civil Rights, within the stated time limit of 180 calendar days.

Throughout the complaint process, it shall be the responsibility of the complainant, the subject Division Executive, and the appellate authority to ensure that the complainant, the F&A General Counsel, the Director of Human Resources, and the *Title VI* and *Title IX* Coordinator have copies and a complete record of all documents, proceedings, findings, appeals, and dispositions related to a complaint. The F&A General Counsel, the Director of Human Resources and the *Title VI* and *Title IX* Coordinator shall have responsibilities as repositories of such information as well as advisors to departmental authorities regarding complaints.

#### **4.4.2. Subrecipient Complaint Procedures**

In accordance with the terms of all contracts, each Subrecipient shall, *upon request, show proof of nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.* Proof of nondiscrimination may require documentation of standard complaint processes (along with the records resulting from such) for both Subrecipient employees and Subrecipient program beneficiaries.

All Subrecipients contracting with the department have been directed to the Department Website where a copy of the plan is available detailing departmental complaint procedures. For those who do not have Internet access, a copy of the plan will be provided.

### **Definition of Related Terms**

**Assurances**—a written statement of agreement signed by one legally authorized to contractually bind an entity in which the signatory agrees on behalf of the organization to administer federally assisted program in accordance with all applicable laws and regulations including those applicable to nondiscrimination.

**Beneficiary**—person to whom assistance, services, or benefits are ultimately provided pursuant to a state administered or contracted program. Potential Beneficiaries are those persons who are eligible to receive program benefits and services.

**Compliance**—fulfillment of the requirements of *Title VI* and *Title IX*, other applicable laws, implementing regulations, and instructions to the extent that no distinctions are made in the delivery of any service or benefit on the basis of race, color, national origin, gender or visual impairment.

**Complaint**—a written allegation of discrimination which indicates that a program is operated in such a manner that it results in disparity of treatment to persons or groups of persons because of race, color, national origin, gender or visual impairment.

**Contractor**—a person or entity that agrees to perform services at a specified price either pursuant to a contract or grant. The state must determine for each contract whether it establishes a vendor or a Subrecipient relationship with the state.

**Compliance Reviews**—regular, systematic inspections of agency programs conducted to determine compliance with *Title VI* and *Title IX* requirements as well as the intents of this implementation plan. Compliance reviews are intended to help to measure the effectiveness of agency efforts to foster the intents of *Title VI* and *Title IX*. Compliance reviews may be conducted by means of either on-site or desk reviews of programs and associated documentation. These reviews may identify problems such as denial of full benefits, barriers to participation, different treatment, lack of selection to advisory boards and planning committees, lack of information, or denial of the right to file a complaint.

**Desk Review**—a desk review is a structured paper review of statistical and narrative information submitted by recipients or agency program offices of compliance information obtained before or without going on-site and may include routine reviews of assurance forms or other documents to ensure that they have been properly completed.

**Discrimination**—involves making an illegal distinction between one person or group of persons and others, either intentionally, by neglect, or by the effect of actions or lack of actions based on race, color, national origin, gender visual impairment, or other characteristic deemed to be “protected” from discrimination under federal or state law.

**Federal Assistance**—any funding, property, or aid provided by the federal government.

**Monitoring**—a review process used to determine a subrecipient’s compliance with the requirements of a state and/or federal program, applicable laws and regulations, and stated results and outcomes.

**Noncompliance**—failure to comply with *Title VI of the Civil Rights Act of 1964*, *Title IX of the Education Amendments Act of 1972*, or other applicable nondiscrimination and civil rights laws.

**Post-Award Review**—a routine inspection of agency programs during and after federal assistance has been provided to the beneficiary or recipient. These reviews may be cyclical or based on a priority system contingent upon the potential for noncompliance in individual programs. Reviews are normally conducted through on-site visits; however, desk reviews and other mechanisms may also be used to assess the operation of programs. A post-award review may result in a written report that shows compliance status. When necessary, the report will contain recommendations for corrective action. If noncompliance is identified, technical assistance and guidance will be provided to result in voluntary compliance. If voluntary compliance cannot be secured, formal enforcement action is then initiated.

**Pre-Award Review**—a review of the proposed operations of a program applicant prior to the approval of a contract and the establishment of a Subrecipient relationship. The department must determine that the program or facility will be operated such that program benefits will be equally available to all eligible persons without regard to race, color, national origin, gender, or visual impairment. The applicant may provide methods of administering the program designed to ensure that the program would comply with all applicable regulations, and correct any existing or developing instances of noncompliance.

**Public Notification**—communication and publicizing information by means of newspapers; newsletters; periodicals; radio and television; community organizations; and grassroots and special needs directories, brochures, or pamphlets. Such may include but is in no way limited to information about *Title VI* and *Title IX*, F&A's processes related thereto, statements of nondiscrimination, as well as the availability of programs, services and benefits.

**Subrecipient**—a non-federal entity that expends state or federal funds under a contract with the state which provides for the contractor to carry out a state or federal program. A Subrecipient is distinguished from a vendor in the nature of the relationship that exists between the state and the contractor. In determining whether a contractor is a Subrecipient or a vendor, the substance of the relationship with the state is more important than the form of the agreement. To distinguish between Subrecipients and vendors, it is necessary to exercise judgement using the following characteristics from the federal, OMB Circular A-133:

<b>Subrecipient—</b>	<b>Vendor—</b>
<ul style="list-style-type: none"> <li>▪ determines who is eligible to receive state or federal assistance through the program administered by the contractor</li> <li>▪ has performance measured against whether the objectives of the state or federal program are met</li> <li>▪ has responsibility for programmatic decision making</li> <li>▪ has responsibility for adherence to applicable state or federal program compliance requirements</li> <li>▪ uses state or federal funds to carry out a program of the state as compared to providing goods or services to a program of the state</li> </ul>	<ul style="list-style-type: none"> <li>▪ provides the goods or services to many different purchasers</li> <li>▪ provides the goods or services within normal business operations</li> <li>▪ operates in a competitive environment</li> <li>▪ provides goods or services that are ancillary to the operation of the state or federal program</li> <li>▪ is not subject to compliance requirements of the state or federal program</li> </ul>

It should be noted that program compliance requirements do not pass through to a vendor.

Subrecipients make programmatic decisions, determine eligibility for services, adhere to applicable State and / or Federal program compliance requirements, and have performance measured against program objectives. A vendor provides goods and services to many different purchasers within normal business operations in a competitive environment. The goods or services provided by a vendor are ancillary to the operation of the State and / or Federal program. A given service provider may be a Subrecipient for one grant while having a vendor relationship with the State for another contract.

## **4.5. Service Procurement Requirements**

The Department of Finance and Administration has imposed a number of professional service procurement requirements that are focused not only on good business practice, but also accountability and progress with *Title VI* and *Title IX* mandates.

### **4.5.1. Procurement Rules and Policy**

Department of Finance and Administration rules and policy have established an Accountability Continuum for all of state government in the area of professional service procurement. This Accountability Continuum focuses significant on the intents and purposes of *Title VI* and *Title IX*. APPENDIX 4—SERVICE PROCUREMENT ACCOUNTABILITY CONTINUUM provides details.

### **4.5.2. Service Provider Registry System**

The Service Provider Registry System (SPRS) was designed to foster the state's use of minority and small businesses, promote competition in service contracting, and collect important management data. The SPRS will provide support and information better enabling state agencies to succeed with competitive service procurements and achieve positive results by increasing the use of minority and small businesses and organizations.

Service Provider Registration is a crucial part of the SPRS. All service providers (except governmental entities) desiring to contract with the state of Tennessee must register through the Service Provider Registry System. No fee-for-service or grant contract with an unregistered contractor or grantee will be approved.

While no contractor, grantee, or Proposer shall be disadvantaged by registration requirements, an unregistered contractor or grantee must file a completed registration with the Office of Contracts Review prior to the final approval of a contract.

### **Registration of Ownership Characteristics**

Registration of basic contractor information and ownership characteristics shall be required. For the purposes of the Service Provider Registry System, a minority or disadvantaged business shall be solely owned or at least 51% owned by a person or

persons who controls the daily operation of such business and who is one of the following:

- African American (persons having origins in any of the Black racial groups of Africa)
- Asian American (persons having origins in any of the original peoples of the Far East, Southeast Asia and Asia, the subcontinent, or the Pacific Islands)
- Female
- Disabled (persons having a physical or mental impairment that, in the written opinion of the person's licensed physician, substantially limits one or more of the major life activities of such person, including caring for oneself, and performing manual tasks, which includes writing, walking, seeing, hearing, speaking and breathing.)
- Hispanic American (persons of Cuban, Mexican, Puerto Rican, Central or South American, or other Spanish or Portuguese origin, culture, or descent, regardless of race)
- Native American (persons having origins in any of the original peoples of North America)
- Person of Another Ethnic Background or National Origin (other than the groups included above and different than that of the majority population in the state of Tennessee— service providers registering this ownership/control characteristic must provide a complete explanation)

(Note: In the case of nonprofit organizations, operations are controlled by a board of directors comprised of 51% or more such individuals.)

A Small Business shall be independently owned and operated, and meet both of the following criteria:

- total gross receipts of no more than \$2,000,000.00 for the 12 months immediately preceding the date the completed service provider registration is submitted;
- employ no more than 30 persons on a full-time basis on the date the completed service provider registration is submitted.

Documentation should also include a narrative of the services offered. Within the space limitations of the registration application, the service providers should type information they believe important in describing their business capabilities. Registrations received without this narrative may be registered without the service information.

### **Procuring Agency Requirements**

The Service Provider Registry System is a reference tool providing a comprehensive listing of all service providers who have registered with the state desiring to be

considered for contracts in certain service categories. Procuring state agencies shall make an earnest effort to comply with the Service Provider Registry System specifications, thereby supporting the effort to increase competition in professional services procurement and to improve the opportunity of minority, disadvantaged and small business owners to compete for business with the state.

Procuring state agencies are required to send Requests For Proposal to and contact for Competitive Negotiation ALL minority, disadvantaged, and small businesses that indicate on the Service Provider Registry System an ability to provide the necessary services as determined by procuring state agency officials. (Nevertheless, the procuring state agency is not required to include more than 15 service providers on its RFP "release list." Neither is the procuring state agency required to contact more than 3 service providers for Competitive Negotiation. Notwithstanding, the procuring state agency must provide an RFP to all who request it.)



## **5. COMMUNICATION**

F&A must take appropriate steps to communicate the Title VI and Title IX Policy and Issues Resolution Process throughout the entire Department of Finance and Administration, its sub-recipients and the general public. Subrecipient notification of the Title VI and Title IX policy and the process for issues resolution is also an important component to the plan success. It is imperative that all entities to which the Department of Finance and Administration sub-grants and contracts federally received funds are made aware of the importance of compliance with the Title VI and Title IX policy as well as the process for issues resolution. It is further imperative that protected beneficiaries are encouraged to participate in agency programs and are informed of the Department's Title VI and Title IX Policy and issues resolution process and the rights afforded them by Title VI and Title IX. The following are methods that are currently used as well as others that the department will use to communicate the Title VI and Title IX Policy and information about the Issues Resolution Process.

### **5.1. Employee Notification**

- ★ Currently, the Department of Finance and Administration New Employee Handbook carries policy statements regarding Title VI and Title IX and addresses the issues resolution process.
- ★ Currently, the departmental newsletter, News and Views periodically publicizes the policies and the issues resolution process.
- ★ A reference copy of the compliance review and implementation plan for Title VI and Title IX and the issues resolution process is on file in the offices of each Division Director as well as in the Human Resources Office (HRO), available to any employee who wishes to review and discuss it.
- ★ Currently, the Title VI and Title IX plan which details the issues resolution process is available on the Department of Finance and Administration Website.
- ★ The policy as well as notification about the issues resolution process will be posted in conspicuous places throughout department workspaces.
- ★ The Department of Finance and Administration Employee Orientation Training Session offered by the Human Resources Office (HRO) will briefly address the policy and the issues resolution process.
- ★ Occasionally, during periodic organizational employee improvement retreats, the policy will be further discussed and explained and any results of efforts discussed

## 5.2. Subrecipient Notification

All grants/contracts with Subrecipients of federal funds currently must include language, which stipulates that no person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the delivery of the program for which the funds will be used or in the employment practices of the Subrecipient on the grounds of race, color, national origin, or sex.

- ★ Subrecipients have received information from the grantor division detailing the Title VI and Title IX policy and stipulating that cooperation and support are expected.
- ★ Subrecipients will be expected to develop a Title VI and Title IX plan and a complaint resolution process to govern the program(s) for which the funds will be used.
- ★ Each application for funds must include a written assurance that the program(s) for which the funds will be used will be carried out in a manner so as to comply with Title VI and Title IX requirements.
- ★ All Subrecipients shall designate those responsible for handling Title VI and Title IX compliance and complaint resolution.

## 5.3. Public Notification

The Title VI and Title IX coordinator has initiated relationships with a focus group of protected beneficiary representatives. The intent is to share information on Title VI and Title IX related activities and to inform them of the Title VI and Title IX policy and issues resolution process.

- ★ The Title VI and Title IX policy and issues resolution process is:
  - available on the Department of Finance and Administration Website.

And will be:

- posted in conspicuous places throughout department that are frequented by the general public.
- ★ Effort will be made to make the Title VI and Title IX policy as well as the Issues Resolution Process available to beneficiaries and other interested persons with a limited English proficiency.
- ★ Pamphlets shall be published informing the public about the Title VI and Title IX policy, their rights under Title VI and Title IX as well as the Issues Resolution Process.
- ★ All Subrecipients shall be required to post notices of the Title VI and Title IX policy and their issues resolution process in a conspicuous location available to the general public.

## **6. PROGRAM SUPPORT**

### **6.1. Employee Information and Training**

The quality of the Department of Finance and Administration's Title VI and Title IX coordination and compliance efforts are only as good as the staff who implements them. Therefore, in order to ensure compliance with the Title VI and Title IX plan and to maximize effectiveness, it is critical that staff and Subrecipients receive regular training and have a clear understanding of the requirements of Title VI and Title IX. The following efforts will be made to improve department staff knowledge and capability with respect to Title VI and Title IX.

#### **6.1.1. Legal Requirements**

- ★ Training will be available in the form of workshops and seminars to both headquarter and field office staff responsible for ensuring Title VI and Title IX compliance and to key program and project management staff. This training will be aimed at educating new and existing staff and recipients in the area of Title VI and Title IX compliance, keeping staff abreast of legal developments which affect Title VI and Title IX as well as making them aware of new civil rights legislation.

#### **6.1.2. Valuing Diversity and Multicultural Understanding**

- ★ Training will be made available to staff on the importance of valuing differences, encouraging positive interactions between and among diverse populations, and maximizing the benefits of a multicultural perspective.
- ★ Courses made available by the Department of Personnel that deal with understanding and valuing differences and the affects of differences on attitudes and actions will be required of departmental staff responsible for ensuring Title VI and Title IX compliance and to key program and project management staff.

### **6.2. Subrecipient Program Support**

In order to appropriately challenge F&A's Subrecipient contractors to join the department in seeking to achieve the intents of Title VI and Title IX, departmental program staff must provide them with information and support. Currently, contract provisions and *Statements of Assurances* are the major information resources regarding Title VI and Title IX compliance that F&A provides its Subrecipients.

- ★ With the promulgation of this plan, F&A program areas will initiate a comprehensive effort to communicate the department's commitment and plans with regard to Title VI and Title IX compliance.

## **7. DATA COLLECTION**

### **7.1. Diversity Data Collection Systems**

#### **7.1.1. Program Accountability Review**

Work is currently underway on a service provider profiling/monitoring and audit-tracking system in The Office of Program Accountability and Review. This project addresses two related areas of need in regard to service providers.

The Audit Tracking & Service Provider Monitoring Professional Services System will address the need for a centralized, widely accessible service provider business profile to facilitate better communications between the agencies and service providers statewide. The information on service provider business profiles will be available to all state agencies and will readily provide basic contact information on both Subrecipients and vendors.

Audit tracking will enable the State to manage its compliance with OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, which requires Subrecipients to have a single audit if they expend funds (regardless of the source) in excess of \$300,000 statewide during a fiscal year.

#### **7.1.2. Service Provider Registry System**

The Service Provider Registry System is designed to not only increase competition in the state's service procurements and to afford an increased opportunity to minority and disadvantaged businesses, but to also provide information regarding the ownership and control characteristics of the service providers with whom the State of Tennessee negotiates using professional and personal service contracts. The system is designed to capture specific data with regard to the ownership and control characteristics of service providers with whom the State of Tennessee does business. The ownership and control characteristics of actual and potential service providers from whom state agencies may procure services are registered and identified, thereby enabling each state agency to analyze its own efforts to provide disadvantaged, minority, and small businesses and non-profit organizations with increased opportunity to do business with the state and then to report on the results of its efforts.

Further, the Service Provider Registry System captures the following data with regard to the service providers registered to provide service to State of Tennessee agencies and departments:

- ? service providers registered;
- ? minority and disadvantaged service providers registered;
- ? minority and disadvantaged service providers registered by classification;

- ? service provider registrations by ownership characteristic and region across the State of Tennessee;

See APPENDIX 5 and APPENDIX 6 for State of Tennessee Service Provider Registration statistics as of June 29, 2001.

Within F&A, there are four program areas with a significant number of service procurements. Those areas are Capital Projects, Criminal Justice Programs, National and Community Service, and Information Technology. See APPENDIX 7—F&A CONTRACTOR DIVERSITY for the ownership and control diversity of Finance and Administration service providers (note: this reflects only contracts with registered service providers; the registration requirement began October 1, 1999).

### **7.1.3. Capital Contractor Ownership Tracking**

The Ownership Tracking Report is maintained on a daily basis. It records and summarizes contractor ownership data for all contracts awarded by the division. The data represented in this report is gathered using the Capital Projects Management Bid Form (refer to APPENDIX 8—CAPITAL PROJECTS BID FORM). The bid form allows bidders to indicate whether or not they are a minority owned and operated business. With the resulting information, the division maintains an up-to-date record of the following key data:

- projects bid
- unique bidders
- bids from WBE contractors
- bids from Title VI contractors
- contracts awarded to WBE contractors
- contracts awarded to Title VI contractors
- contracts awarded to minorities
- value of contracts awarded to minorities

The policies and procedures for tracking this information is reviewed annually with modifications being made during the year as deemed appropriate.

Refer to EXHIBIT 6—CAPITAL CONTRACTS DATA for a summary of this data.

Contracts are awarded after a competitive process commenced with advertising via city newspapers throughout the state, the State Web Page, Nashville Minority Business Developmental Center, UT Center for Industrial Services (until June 30, 2002), and Minority Business Enterprises/Department of Economic and Community Development.

Competitive sealed bids achieve maximum competition among all qualified bidders to obtain the highest level of quality and the least price for State projects.

## Capital Projects Minority Contractor Ownership Tracking Report

July, 2000 to June 4, 2001

	<u>Totals</u>	<u>Percent of Total</u>
Number of Projects Bid	53	100%
Number of Unique Bidders	224	
Number of Bids from WWBE Contractors	9	4%
Number of Bids from Minority Contractors	5	2.2%
Number of Bids from HDBE Contractors	0	0.0%
Number of Bids awarded to WWBE Contractors	1	0.4%
Number of Bids awarded to Minority Contractors	0	0.0%
Number of Bids awarded to HDBE Contractors	0	0.0%
Total Dollar Value of WWBE Contracts	\$33,300	0.1%
Total Dollar Value of Minority Contracts	\$0.00	0.0%

### Key:

MBE	Minority Man Business Enterprise
MWBE	Minority Woman Business Enterprise
WWBE	White Woman Business Enterprise
HDBE	Handicapped/Disabled Business Enterprise
MINORITY	African American, Asian Indian American, Hispanic American, Asian Pacific American, and Native American

## 7.2 Workforce Diversity

As the population of Tennessee continues to reflect broad demographic shifts which result from changing immigration patterns and other factors, F&A strives to adjust and adapt the working environment to reflect and incorporate this increased diversity in its workforce. F&A is focused upon two aspects of departmental workforce diversity—employment and participation. Ideally, the department's workforce would reflect a variety of race, color, national origin, and gender across all classifications and at all salary levels. This, of course, is significantly dependent upon the availability of potential, qualified employees reflecting such diversity. Refer to EXHIBIT 7—F&A EMPLOYEES AND WORKFORCE AVAILABILITY for details of the diversity of selected classifications as compared with workforce availability. Refer to EXHIBITS 8-10 for additional detailed data regarding F&A Workforce Diversity.

To succeed in achieving the goal of workforce diversity, F&A must implement a recruitment effort toward the end of broad and representative diversity in the department's workforce and to meet the business needs of the state. F&A's Human Resources Office, seeing these needs, has developed a departmental recruitment package to introduce potential employees to the opportunities and benefits offered by F&A employment. The development of these materials is just a beginning.

- ★ F&A divisions will implement recruitment efforts (in addition to the traditional Department of Personnel registry system) to meet business needs. These efforts will focus on seeking qualified applicants and meeting the department's business needs in the area of diversity. This focus can be executed in the following ways:
  - ? recognize and articulate diversity as an important business need of the department;
  - ? concentrate and direct recruitment communications to organizations and institutions having either historical or mission-driven associations with protected beneficiary groups;
  - ? practice a commitment to interview a significant proportion of qualified people representing protected beneficiary groups;
  - ? collect divisional data focusing the issues of recruitment and diversity.

To ensure success in departmental workforce diversity, continued data collection regarding actual workforce diversity is also crucial. The department's Executive Leadership Team must then use this data to continually hone F&A's recruitment efforts (through periodic reviews and analysis).

It is also very important that, along with employing a diverse workforce, F&A ensure diversity of participation in the department's key decision making. To execute this commitment, F&A divisions will continue to consider and emphasize diversity in the make-up of committees and work groups.

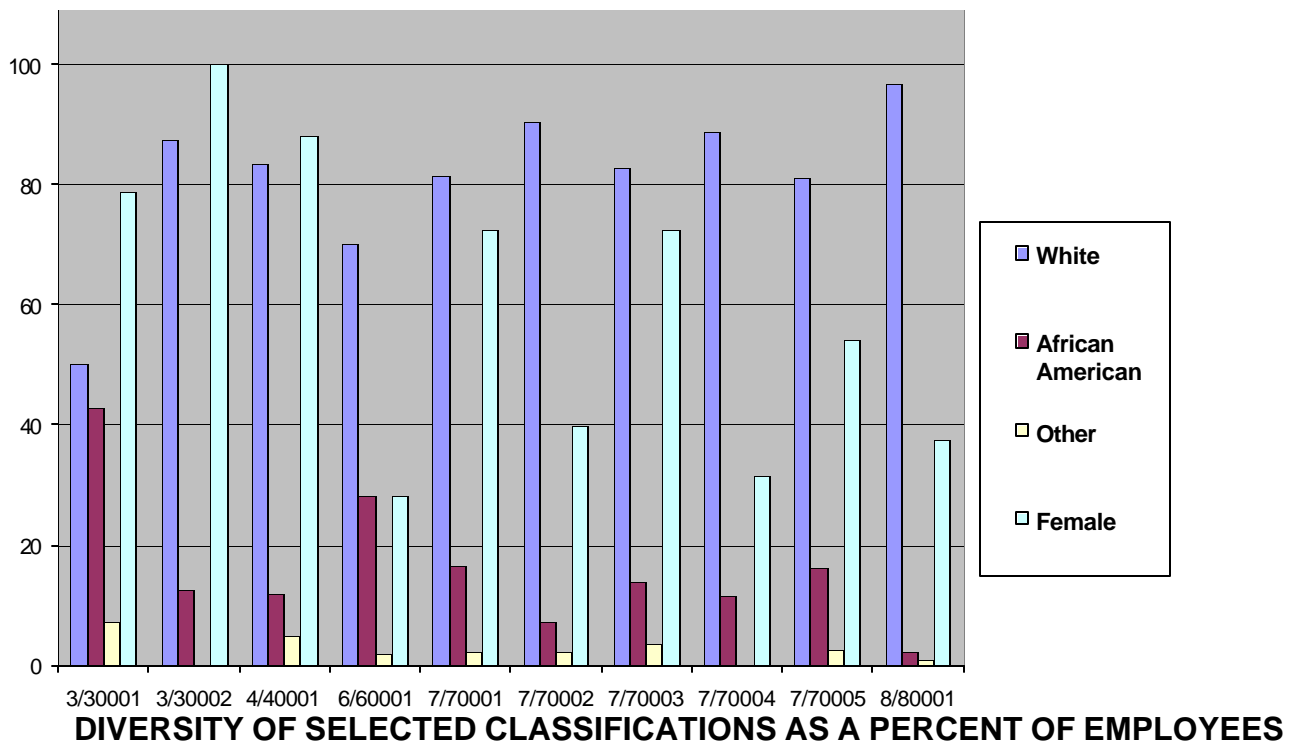
- ★ Crucial to this effort will be the divisional collection of data regarding diversity in the make-up of committees and work groups.



## EXHIBIT 7—F&A EMPLOYEES AND WORKFORCE AVAILABILITY\*

\*as provided by the State of Tennessee Affirmative Action Planning System (March 2002)

EEO Category /Job Group	PERCENT OF CURRENT WORKFORCE				PERCENT AVAILABILITY		
	White	African American	Other	Female	African American	Other	Female
3/30001	50	42.9	7.1	78.6	25.6	3.4	83.2
3/30002	87.5	12.5	0	100	4.2	0.6	99.4
4/40001	83.3	11.9	4.8	88.1	7.8	2.6	90.8
6/60001	70.2	28.1	1.8	28.1	21.4	2.0	47.8
7/70001	81.3	16.5	2.2	72.5	11.2	.8	77.2
7/70002	90.4	7.3	2.3	39.7	6.8	1.4	36.4
7/70003	82.8	13.8	3.4	72.4	11.0	1.6	63.4
7/70004	88.6	11.4	0	31.4	10.2	0	47.0
7/70005	81.1	16.2	2.7	54.1	10.6	1.8	54.6
8/80001	96.8	2.4	.8	37.6	5.4	1.0	40.4

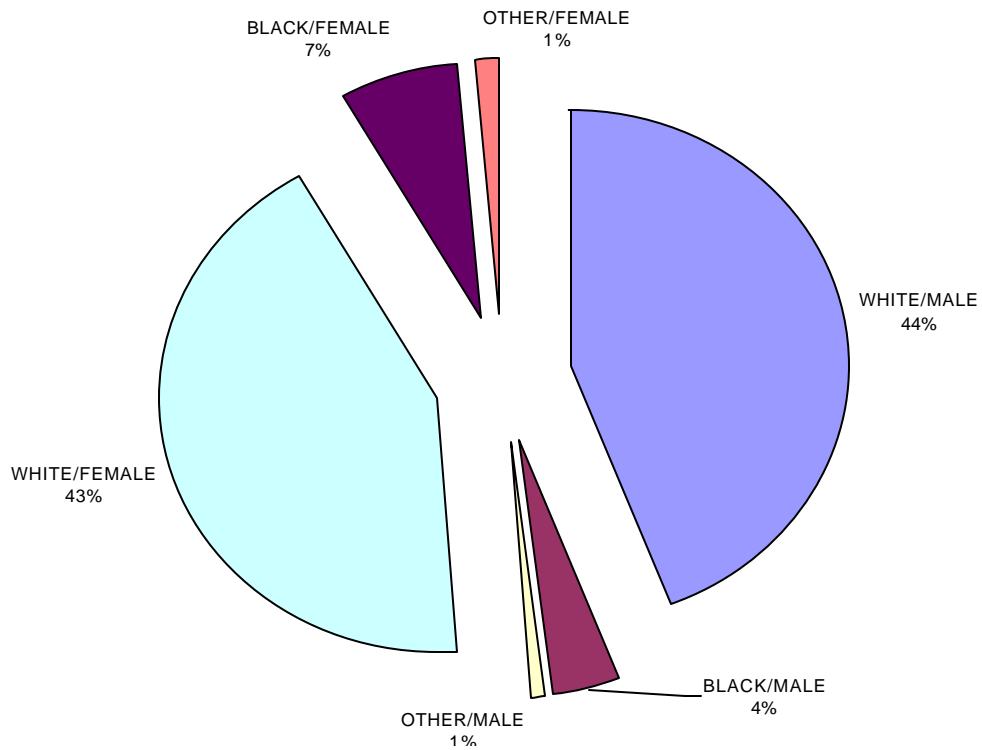


## EXHIBIT 8—F&A WORKFORCE DIVERSITY\*

\* as of March 2002

	WHITE MALE	BLACK MALE	OTHER MALE	WHITE FEMALE	BLACK FEMALE	OTHER FEMALE	TOTAL EMPLOYEES
<b>TOTAL F&amp;A EMPLOYEES</b>	308	28	5	299	49	9	698

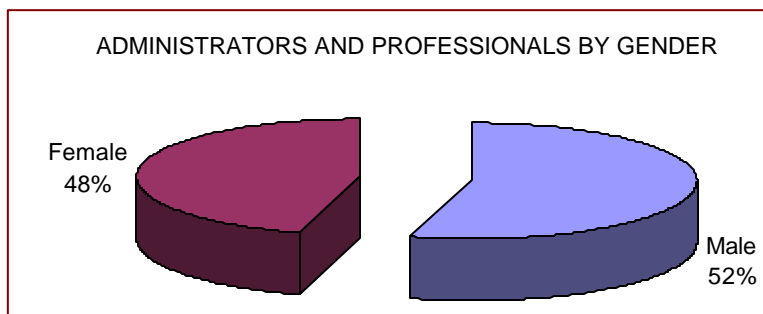
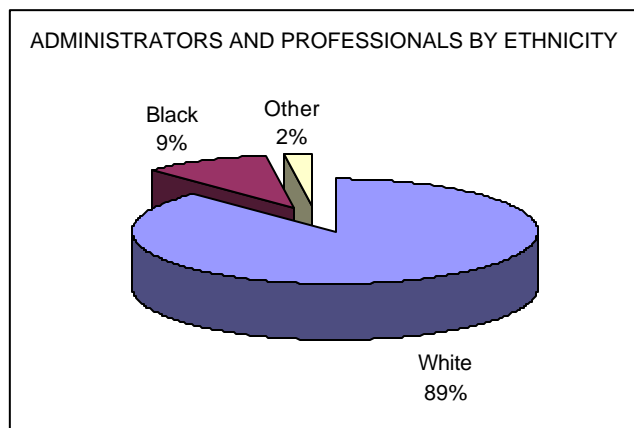
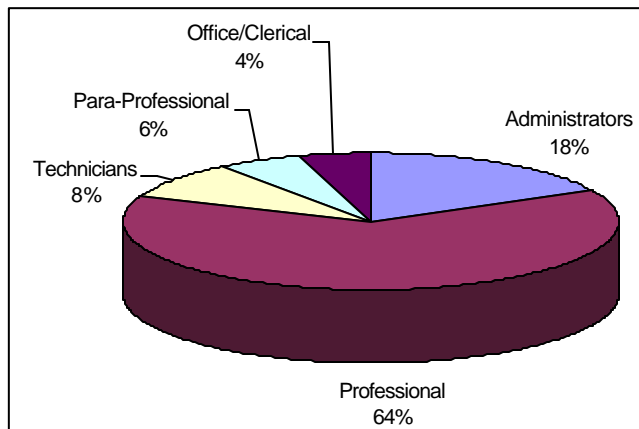
**TOTAL F&A EMPLOYEES**



## EXHIBIT 9—F&A WORKFORCE DIVERSITY BY JOB CATEGORIES\*

\* as of March 2002

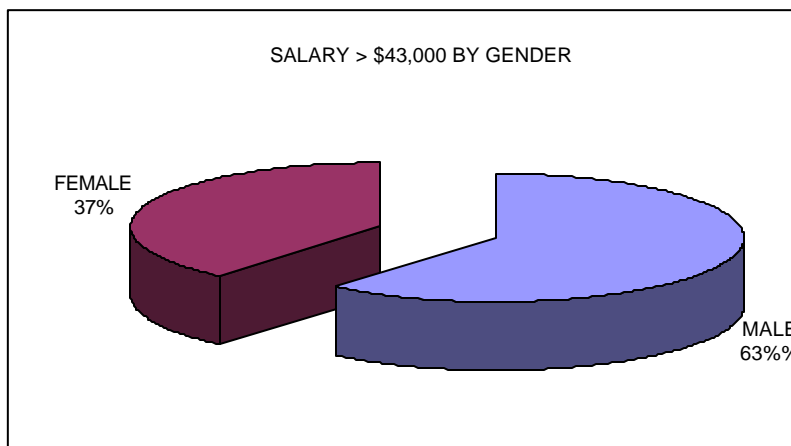
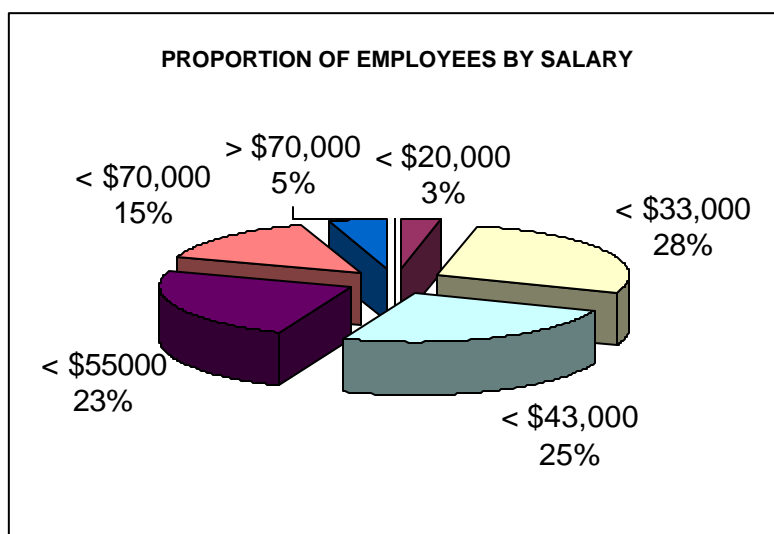
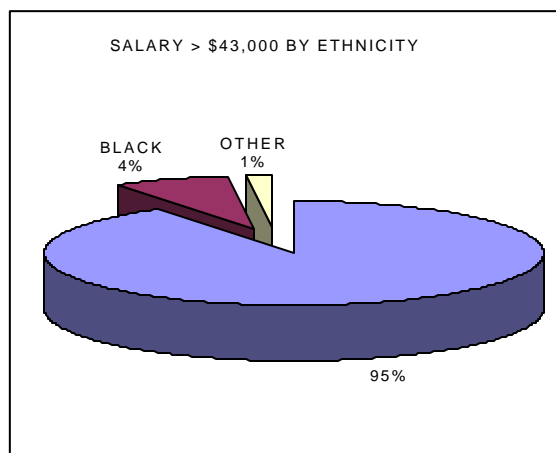
JOB CATEGORY	WHITE MALE	BLACK MALE	OTHER MALE	WHITE FEMALE	BLACK FEMALE	OTHER FEMALE	TOTAL EMPLOYEES
Administrators	76	2	1	44	1	0	124
Professional	201	13	3	192	36	6	451
Technicians	27	10	0	10	5	1	53
Para-Professional	2	3	0	33	2	2	42
Office/Clerical	2	0	1	20	5	0	28



## EXHIBIT 10—F&A WORKFORCE DIVERSITY BY SALARY\*

\* as of March 2002

SALARY RANGE	WHITE MALE	BLACK MALE	OTHER MALE	WHITE FEMALE	BLACK FEMALE	OTHER FEMALE	TOTAL EMPLOYEES
< \$20,000	5	0	1	13	4	0	23
< \$33,000	46	13	2	104	24	4	193
< \$43,000	70	9	1	77	15	4	176
< \$55,000	94	4	0	60	5	1	164
< \$70,000	64	2	1	39	1	0	107
> \$70,000	29	0	0	6	0	0	35
<b>TOTAL</b>	<b>308</b>	<b>28</b>	<b>5</b>	<b>299</b>	<b>49</b>	<b>9</b>	<b>698</b>



## **7.2. Subrecipient Program Beneficiary Diversity**

The two divisions within Finance and Administration with Subrecipients are the Office of Criminal Justice Programs and the Tennessee Commission on National Community Service in the Division of Resource Development and Support. Currently, there are no coordinated approaches to capturing the diversity of beneficiaries served by the programs administered by the Office of Criminal Justice Programs.

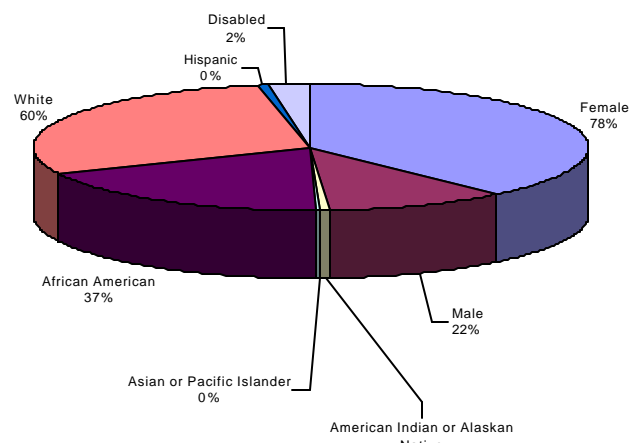
The Tennessee Commission on National Community Service currently utilizes the enrollment form in APPENDIX 9—TCNCS ENROLLMENT FORM to capture data about the AmeriCorps Program. When a participant joins an AmeriCorps program the form is completed and the information is kept in a Web-Based Reporting System which is only accessible to Commission and program staff and the Corporation for National Service. EXHIBIT 11—AMERICORPS ENROLLMENT DIVERSITY details AmeriCorps enrollment for the period of August 1, 2001 to July 31, 2002.

## EXHIBIT 11— AMERICORPS ENROLLMENT DIVERSITY

Currently there are 360 AmeriCorps Members throughout Tennessee participating in various programs. Detailed below is the diversity of AmeriCorps members from August 1, 2001 to July 31, 2002.

ETHNICITY/GENDER/DISABILITY	NUMBER OF PARTICIPANTS
Female	281
Male	79
American Indian or Alaskan Native	4
Asian or Pacific Islander	2
African American	134
White	213
Hispanic	4
Disabled	18

NOTE: These numbers represent the possibility of multiple characteristics identification



## **8. COMPLIANCE EVALUATION**

### **8.1. Departmental Review**

Methods for reviewing Title VI and Title IX compliance include: periodic data review; self-assessment; and audit. These are tools to assist the Commissioner and Division Executives in executing Title VI and Title IX compliance.

#### **8.1.1. Periodic Data Review and Annual Evaluation**

Each F&A Division Executive is responsible for conducting divisional reviews of activities to ensure with compliance with Title VI and Title IX. Accordingly, the Division Executives are also responsible for the resolution of any identified noncompliance within his or her purview.

While F&A collects much of the data necessary for evaluating performance, it has not systematically reviewed that data toward the evaluation of Title VI and Title IX performance.

- ★ This plan and the responsibilities set forth herein will initiate that systemic review. (See section 3.1 exhibit for details.)

#### **8.1.2. Audit**

Standard audit practices (internal and state audit) also provide Title VI and Title IX compliance evaluation. Each year, the Comptroller's Division of State Audit conducts and publishes a financial and compliance audit of the Department of Finance and Administration for the previous fiscal year. Components of such address F&A's compliance with Title VI and Title IX requirements.

Further, F&A's Internal Audit section is positioned to investigate or audit the department's compliance with Title VI and Title IX requirement either upon request or the appearance of non-compliance. Internal Audit reports to the F&A Commissioner and has total access to the department and its program areas. Thus, Internal Audit provides an ongoing control with regard to compliance.

### **8.2. Subrecipient Compliance Review**

#### **8.2.1. Pre-Award Review**

F&A's Subrecipients are required to provide *Statements of Assurances* that address Title VI and Title IX compliance. *Statements of Assurances* can be effectively used for pre-award review.

#### **8.2.2. Post-Award Review (PAR Monitoring)**

The department periodically monitors all Subrecipient contracts. The Division of Resource Development and Support's Office of Program Accountability Review (PAR) conducts these reviews. Approximately 60 staff currently conduct reviews. This staff consists of Program Monitors 1, and 2; Program Supervisors and Managers; Auditors 1, and 2; Audit Supervisors and Managers as well as Regional Directors.

### **Scheduling Criteria**

The scheduling criteria for Subrecipient monitoring are based on relative risk. Each contractor is determined to involve high, medium or low risk. High-risk Subrecipients are monitored each fiscal year. Medium risk Subrecipients are monitored every two years. Low risk Subrecipients are monitored every three years.

### **Nature and Criteria of Compliance Review Monitoring**

The character of each monitoring review is determined by the sub-recipient's risk level. For each risk level, monitoring objectives and core areas have been identified. Each state agency must have monitoring procedures that meet the objectives of each risk level and core areas.

The required core monitoring areas are: allowable activities; civil rights; allowable cost/cost principles; eligibility; matching; level of effort; earmarking; program income; cash management; Davis-Bacon Act; equipment and real property management; period of availability of funds; procurement, suspension, and debarment; real property acquisition and relocation assistance; reporting; and special tests and provisions.

The monitoring of a sub-recipient classified as high or medium risk should include testing of the financial/program data and reporting. For high-risk sub-recipients, the sample size should be larger than that of medium risk and the level of testing should be more intense. The following are the basic objectives of high and medium risk monitoring:

- obtain reasonable assurance that the agency is a going concern;
- test the reliability of internal controls;
- verify that program objectives are being met;
- verify that civil rights requirements are being met;
- test the reliability of the sub-recipient's financial and programmatic reports;
- test if costs and services are allowable and eligible.

The basic objective of low risk monitoring is to assess internal and operational controls to determine if further monitoring is necessary. If monitors detect deficiencies, the subject Subrecipient must submit corrective action plan, and the funding program staff



is responsible for ensuring corrective action. Evaluators do not maintain any demographic data regarding the clients served by the program being monitored.

See APPENDIX 10—PAR MONITORING GUIDE for more information on monitoring review items; Section II contains the reviews for monitoring compliance with Title VI and other Civil Rights Statutes.

### **8.2.3.Compliance Review 2001**

The estimated total number of covered Subrecipients for the Department of Finance and Administration for Fiscal Year 2002 is 380. Of those 380, 30 are Tennessee Commission on National Community Service (TCNCS) Subrecipients and 350 are Office of Criminal Justice Program (OCJP) Subrecipients.

The total number of post-award reviews conducted for The Department of Finance and Administration for the Fiscal year 2002 is 187. Of those 187, 16 reviews were conducted of Tennessee Commission on National Community Service Subrecipients and 171 were conducted of Office of Criminal Justice Program Subrecipients. As of fiscal year ending June 30, 2002, approximately four OCJP and reviews are still pending.

All visits conducted for F&A involved both onsite reviews and desk-audits. Approximately 91 OCJP and eight TCNCS reviews resulted in overall compliance. Approximately 80 OCJP and eight TCNCS reviews resulted in non-compliance. None of these findings were in the area of Civil Rights. None of these reviews of non-compliance resulted in conditioned or corrective action or the denial of award or judicial or administrative enforcement.

No unresolved Title VI complaints were in inventory at the beginning of this fiscal year and none were received during fiscal year 2002.

## **APPENDICES**

APPENDIX 1—F&A PROFESSIONAL SERVICE CONTRACTORS/GRANTEES

APPENDIX 2—PROTECTED BENEFICIARY SURVEY

APPENDIX 3—PROTECTED BENEFICIARY REPRESENTATIVES SURVEYED

APPENDIX 4—SERVICE PROCUREMENT ACCOUNTABILITY CONTINUUM

APPENDIX 5—SPRS REGISTRATION STATISTICS

APPENDIX 6—SPRS REGISTRATIONS BY REGION AND OWNERSHIP

APPENDIX 7—PROFESSIONAL SERVICE CONTRACTOR DIVERSITY

APPENDIX 8—CAPITAL PROJECTS BID FORM

APPENDIX 9—TCNCS ENROLLMENT FORM

APPENDIX 10—PAR MONITORING GUIDE

## APPENDIX 1—F&A PROFESSIONAL SERVICE CONTRACTORS/GRANTEES

SERVICE DESCRIPTION	CONTRACTOR NAME	AMOUNT	SUBRECIPIENT	CONTRACTOR DESCRIPTION
Family Violence Shelter Services	UJIMA House, Inc.	\$45,000.00	YES	African American
Family Violence Shelter Services	YWCA of Oak Ridge	\$91,711.00	YES	African American
Family Violence Shelter Services	YWCA of Greater Memphis	\$97,943.00	YES	African American
Family Violence Shelter Services	Women's Resource and Rape Assistance Program, Inc.	\$233,326.00	YES	African American
STOP Violence	YWCA of Greater Memphis	\$37,172.00	YES	African American
STOP Violence	Women's Resource and Rape Assistance Program, Inc.	\$49,174.00	YES	African American
Victims of Crime	Matthew Walker	\$30,000.00	YES	African American
Victims of Crime	Friendship Community Outreach Center	\$50,082.00	YES	African American
Victims of Crime	Cocaine & Alcohol Awareness, Inc.	\$62,000.00	YES	African American
Victims of Crime	CASE Management	\$70,000.00	YES	African American
Victims of Crime	UJIMA House, Inc	\$80,000.00	YES	African American
Victims of Crime	Victims to Victory	\$82,900.00	YES	African American
Victims of Crime	Black Children's Inst.	\$78,000.00	YES	African American
Victims of Crime	YWCA of Greater Memphis	\$83,918.00	YES	African American
Victims of Crime	Family Services of Mid-South	\$89,719.00	YES	African American
Victims of Crime	Women's Resource and Rape Assistance Program, Inc.	\$183,588.00	YES	African American
		<b>\$1,364,533.00</b>		
IT / CMATS DEVELOPMENT	GULF COMPUTERS INC	\$4,304,372.00		Asian American
IT / PROFESSIONAL SERVICE	ACRO SERVICE CORP	\$5,000,000.00		Asian American
IT / TELECOMMUNICATIONS CONSULTING	D&D WORLDWIDE LLC	\$200,000.00		Asian American
IT / WORKERS COMPENSATION SYSTEM	GULF COMPUTERS INC	\$2,777,768.00		Asian American
		<b>\$12,282,140.00</b>		
BOUNDARY SURVEY	DELEGATED AUTHORITY	\$500,000.00		Delegated Authority
IT / TRAINING	DELEGATED AUTHORITY	\$60,000.00		Delegated Authority
IT / TRAINING	DELEGATED AUTHORITY	\$1,408,000.00		Delegated Authority
IT / TRAINING / MICROSOFT	DELEGATED AUTHORITY	\$512,000.00		Delegated Authority
IT / TRAINING / NOVELL	DELEGATED AUTHORITY	\$191,840.00		Delegated Authority
LAND ACQUISITION & DISPOSAL	DELEGATED AUTHORITY	\$250,000.00		Delegated Authority
LEGAL SERVICE	DELEGATED AUTHORITY	\$25,000.00		Delegated Authority
RELOCATION SERVICE	DELEGATED AUTHORITY	\$50,000.00		Delegated Authority
		<b>\$2,996,840.00</b>		
MERITORPUS	UNITED NEIGHBORHOOD HEALTH SERVICES	\$409,486.00	YES	Female
MERITORPUS	UNITED NEIGHBORHOOD HEALTH SERVICES	\$421,721.00	YES	Female

ENFORCEMENT	TN COALITION AGAINST DOMESTIC/SEXUAL VIOLENCE	\$508,725.00	YES	Female
FAMILY VIOLENCE SHELTER	TN COALITION AGAINST DOMESTIC/SEXUAL VIOLENCE	\$28,500.00	YES	Female
Family Violence Shelter Services	Genesis House, Inc.	\$25,000.00	YES	Female
Family Violence Shelter Services	Prevent Child Abuse TN	\$25,000.00	YES	Female
Family Violence Shelter Services	BRIDGES of Williamson County	\$35,436.00	YES	Female
Family Violence Shelter Services	Change Is Possible (CHIPS)	\$42,484.00	YES	Female
Family Violence Shelter Services	Frontier Health/Safe House	\$45,437.00	YES	Female
Family Violence Shelter Services	Hannah's House, Inc.	\$45,772.00	YES	Female
Family Violence Shelter Services	The Shelter, Inc.	\$46,757.00	YES	Female
Family Violence Shelter Services	Families In Crisis, Inc.	\$47,082.00	YES	Female
Family Violence Shelter Services	Johnson County Safe Haven Inc.	\$47,401.00	YES	Female
Family Violence Shelter Services	Scott County Women's Shelter	\$47,401.00	YES	Female
Family Violence Shelter Services	Urban Ministries Safehouse	\$48,066.00	YES	Female
Family Violence Shelter Services	Regional Education & Community Health Services, Inc.	\$48,726.00	YES	Female
Family Violence Shelter Services	Safe Passage, Inc.	\$48,726.00	YES	Female
Family Violence Shelter Services	Family Resource Agency, Inc.	\$49,051.00	YES	Female
Family Violence Shelter Services	The H.O.P.E. Center, Inc.	\$49,051.00	YES	Female
Family Violence Shelter Services	Genesis House, Inc.	\$50,360.00	YES	Female
Family Violence Shelter Services	Haven of Hope, Inc.	\$50,426.00	YES	Female
Family Violence Shelter Services	SafeSpace	\$50,695.00	YES	Female
Family Violence Shelter Services	Battered Women, Inc.	\$51,020.00	YES	Female
Family Violence Shelter Services	Abuse Alternatives, Inc.	\$51,345.00	YES	Female
Family Violence Shelter Services	Domestic Violence Program, Inc.	\$51,345.00	YES	Female
Family Violence Shelter Services	Domestic Violence Crisis Center, Inc.	\$52,289.00	YES	Female
Family Violence Shelter Services	Women Are Safe, Inc.	\$54,128.00	YES	Female
Family Violence Shelter Services	Madison Domestic Violence Program	\$59,416.00	YES	Female
Family Violence Shelter Services	Haven House, Inc.	\$60,726.00	YES	Female
Family Violence Shelter Services	Family Crisis Center	\$62,004.00	YES	Female
Family Violence Shelter Services	Hope House-Maury County Center Against Domestic Violence	\$62,035.00	YES	Female
Family Violence Shelter Services	YWCA of Nashville & Middle Tennessee	\$105,644.00	YES	Female
Family Violence Shelter Services	CEASE, Inc.	\$107,649.00	YES	Female
Family Violence Shelter Services	HomeSafe of Sumner, Wilson and Robertson Counties, Inc.	\$121,237.00	YES	Female
Family Violence Shelter Services	Northwest Safeline, Inc.	\$133,376.00	YES	Female
PDAT	UNITED NEIGHBORHOOD HEALTH SERVICES	\$2,200.30	YES	Female
PDAT	UNITED NEIGHBORHOOD HEALTH SERVICES	\$2,332.00	YES	Female
STOP Violence	Domestic Violence Intervention Center	\$3,042.00	YES	Female

§TOP Violence	Urban Ministries Safehouse	\$7,000.00	YES	Female
§TOP Violence	Hannah's House, Inc.	\$10,065.00	YES	Female
§TOP Violence	Johnson County Safe Haven, Inc.	\$14,720.00	YES	Female
§TOP Violence	The H.O.P.E. Center, Inc.	\$18,053.00	YES	Female
§TOP Violence	Family Resource Agency, Inc.	\$19,361.00	YES	Female
§TOP Violence	Hope House-Maury County Center Against Domestic Violence	\$19,908.00	YES	Female
§TOP Violence	Rape and Sexual Abuse Center	\$20,511.00	YES	Female
§TOP Violence	CEASE, Inc.	\$20,730.00	YES	Female
§TOP Violence	Haven House, Inc.	\$20,892.00	YES	Female
§TOP Violence	Family Crisis Center	\$26,000.00	YES	Female
§TOP Violence	Domestic Violence Program, Inc.	\$26,298.00	YES	Female
§TOP Violence	SafeSpace	\$29,000.00	YES	Female
§TOP Violence	Fayette Cares, Inc.	\$35,369.00	YES	Female
§TOP Violence	Battered Women, Inc.	\$37,511.00	YES	Female
§TOP Violence	Southeast Tennessee Legal Services	\$46,966.00	YES	Female
§TOP Violence	Scott County Women's Shelter	\$50,000.00	YES	Female
§TOP Violence	The Shelter, Inc.	\$50,000.00	YES	Female
§TOP Violence	Circuit Court Division III	\$50,618.00	YES	Female
§TOP Violence	Haven of Hope, Inc.	\$54,967.00	YES	Female
§TOP Violence	West Tennessee Legal Services, Inc.	\$55,614.00	YES	Female
§TOP Violence	Genesis House, Inc.	\$69,718.00	YES	Female
§TOP Violence	Sexual Assault Crisis Center	\$76,115.00	YES	Female
§TOP Violence	YWCA of Nashville & Middle Tennessee	\$76,560.00	YES	Female
§TOP Violence	Regional Education & Community Health Services, Inc.	\$102,100.00	YES	Female
§TOP Violence	Legal Aid Society of Middle Tennessee and the Cumberland	\$60,358.00	YES	Female
§TOP Violence	Tennessee Coalition Against Domestic and Sexual Violence	\$136,978.00	YES	Female
RAINING TECHNICAL ASSISTANCE	EVALUATION TEAM	\$35,724.00	YES	Female
RAVEL SERVICE	WRIGHT TRAVEL AGENCY INC	\$40,000.00		Female
§ictims of Crime	CASA of Sullivan County	\$11,196.00	YES	Female
§ictims of Crime	CASA of Anderson County	\$16,250.00	YES	Female
§ictims of Crime	You Have the Power	\$23,402.00	YES	Female
§ictims of Crime	Children's Advocacy Center of Sullivan County	\$24,500.00	YES	Female
§ictims of Crime	Wilson County CASA, Inc.	\$27,000.00	YES	Female
§ictims of Crime	Domestic Violence Crisis Center, Inc.	\$28,100.00	YES	Female
§ictims of Crime	Johnson Co. Safe Haven	\$28,500.00	YES	Female
§ictims of Crime	YWCA of Knoxville	\$30,000.00	YES	Female

Victims of Crime	Hannah's House, Inc.	\$32,159.00	YES	Female
Victims of Crime	Legal Aid of East Tennessee, Inc.	\$32,800.00	YES	Female
Victims of Crime	Madison Co. Juvenile Court Services	\$33,975.00	YES	Female
Victims of Crime	Change Is Possible (CHIPS)	\$34,000.00	YES	Female
Victims of Crime	Children's Advocacy Center of the 1st Judicial District	\$34,995.00	YES	Female
Victims of Crime	Prevent Child Abuse Tennessee	\$35,000.00	YES	Female
Victims of Crime	Abuse Alternatives, Inc.	\$36,900.00	YES	Female
Victims of Crime	The Florence Crittenton Agency, Inc.	\$38,654.00	YES	Female
Victims of Crime	30th Judicial District	\$39,643.00	YES	Female
Victims of Crime	22nd Judicial District	\$40,579.00	YES	Female
Victims of Crime	Associated Catholic Charities of ET	\$40,580.00	YES	Female
Victims of Crime	Child Advocacy Center of the 9th Judicial District	\$42,121.00	YES	Female
Victims of Crime	Oasis Center, Inc.	\$45,000.00	YES	Female
Victims of Crime	Safe Passage, Inc.	\$46,200.00	YES	Female
Victims of Crime	Kid's Place	\$46,499.00	YES	Female
Victims of Crime	Memphis Child Advocacy Center	\$49,400.00	YES	Female
Victims of Crime	Children's Advocacy Center of Rutherford County, Inc.	\$49,998.00	YES	Female
Victims of Crime	Families in Crisis, Inc.	\$50,000.00	YES	Female
Victims of Crime	Frontier Health/Safe House	\$50,000.00	YES	Female
Victims of Crime	Haven House, Inc.	\$50,000.00	YES	Female
Victims of Crime	Regional Education & Community Health Services, Inc.	\$50,000.00	YES	Female
Victims of Crime	Scott County Women's Shelter	\$50,000.00	YES	Female
Victims of Crime	Williamson County Child Advocacy Center	\$50,000.00	YES	Female
Victims of Crime	Family Resource Agency, Inc.	\$51,588.00	YES	Female
Victims of Crime	Urban Ministries Safehouse	\$52,217.00	YES	Female
Victims of Crime	Legal Aid of East Tennessee, Inc.	\$52,238.00	YES	Female
Victims of Crime	SafeSpace	\$54,252.00	YES	Female
Victims of Crime	Hope House-Maury County Center Against Domestic Violence	\$54,834.00	YES	Female
Victims of Crime	Family Resource Agency, Inc.	\$54,863.00	YES	Female
Victims of Crime	Legal Aid Society of Middle Tennessee and the Cumberland	\$56,000.00	YES	Female
Victims of Crime	Nashville Child Advocacy Center	\$58,500.00	YES	Female
Victims of Crime	Northwest Safeline, Inc.	\$59,000.00	YES	Female
Victims of Crime	Legal Aid Society of Middle Tennessee and the Cumberland	\$59,380.00	YES	Female
Victims of Crime	CEASE, Inc.	\$60,000.00	YES	Female
Victims of Crime	Tennessee MADD	\$60,000.00	YES	Female
Victims of Crime	Legal Aid Society of Middle Tennessee and the Cumberland	\$60,568.00	YES	Female

Victims of Crime	The Shelter, Inc.	\$60,648.00	YES	Female
Victims of Crime	Senior Citizens, Inc.	\$63,728.00	YES	Female
Victims of Crime	Children's Advocacy Center of Sullivan County	\$64,480.00	YES	Female
Victims of Crime	21st Judicial District	\$66,706.00	YES	Female
Victims of Crime	West Tennessee Legal Services, Inc.	\$68,381.00	YES	Female
Victims of Crime	Children's Advocacy Center of Hamilton County	\$68,408.00	YES	Female
Victims of Crime	Legal Aid of East Tennessee, Inc.	\$68,900.00	YES	Female
Victims of Crime	Children's Center of the Cumberland Mountains	\$69,508.00	YES	Female
Victims of Crime	Safespace	\$70,500.00	YES	Female
Victims of Crime	Women Are Safe, Inc.	\$72,000.00	YES	Female
Victims of Crime	Haven of Hope, Inc.	\$72,800.00	YES	Female
Victims of Crime	Children & Family Services, Inc.	\$74,000.00	YES	Female
Victims of Crime	HomeSafe of Sumner, Wilson and Robertson Counties, Inc.	\$75,000.00	YES	Female
Victims of Crime	Frayser Millington	\$79,136.00	YES	Female
Victims of Crime	The H.O.P.E. Center, Inc.	\$79,479.00	YES	Female
Victims of Crime	The H.O.P.E. Center, Inc.	\$82,000.00	YES	Female
Victims of Crime	Family Crisis Center	\$82,277.00	YES	Female
Victims of Crime	Regional Education & Community Health Services, Inc.	\$82,632.00	YES	Female
Victims of Crime	Catholic Charities of Tennessee	\$89,239.00	YES	Female
Victims of Crime	Battered Women, Inc.	\$89,648.00	YES	Female
Victims of Crime	Genesis House, Inc.	\$91,218.00	YES	Female
Victims of Crime	2nd Judicial District	\$91,629.00	YES	Female
Victims of Crime	Northwest TN Economic Development Council	\$98,800.00	YES	Female
Victims of Crime	Battered Women, Inc.	\$98,900.00	YES	Female
Victims of Crime	Domestic Violence Program, Inc.	\$102,263.00	YES	Female
Victims of Crime	Nashville Child Advocacy Center	\$44,000.00	YES	Female
Victims of Crime	YWCA of Nashville & Middle Tennessee	\$109,700.00	YES	Female
Victims of Crime	HomeSafe of Sumner, Wilson and Robertson Counties, Inc.	\$111,031.00	YES	Female
Victims of Crime	Exchange Club Family Center	\$119,000.00	YES	Female
Victims of Crime	Sexual Assault Crisis Center	\$120,287.00	YES	Female
Victims of Crime	Family & Children's Services	\$124,800.00	YES	Female
Victims of Crime	Exchange Club-Carl Perkins Center	\$129,662.00	YES	Female
Victims of Crime	Bristol Crisis Center	\$145,600.00	YES	Female
Victims of Crime	Sexual Assault Crisis Center	\$267,962.00	YES	Female
Victims of Crime	Rape and Sexual Abuse Center	\$300,040.00	YES	Female
Victims of Crime	Family and Children's Services of Chattanooga, Inc.	\$308,100.00	YES	Female

		<b>\$10,005,580.30</b>		
BOUNDARY SURVEY	L I SMITH & ASSOCIATES INC	\$180,202.40		Female / Small Business
IT / RESEARCH & TECHNICAL WRITING	ROSE WATHEN	\$48,000.00		Female / Small Business
IT / SYSTEMS ANALYSIS	CATHY L OWEN	\$41,600.00		Female / Small Business
		<b>\$269,802.40</b>		
MERICORPS	DEPARTMENT OF MENTAL HEALTH	\$102,850.00	YES	Government
MERICORPS	DEPARTMENT OF MENTAL HEALTH	\$116,265.00	YES	Government
MERICORPS	SOUTHWEST TN COMMUNITY COLLEGE	\$145,200.00	YES	Government
MERICORPS	SOUTHWEST TN COMMUNITY COLLEGE	\$157,954.00	YES	Government
MERICORPS	KNOXVILLE/KNOX CO COMMUNITY ACTION COMMITTEE	\$244,904.00	YES	Government
MERICORPS	KNOXVILLE/KNOX CO COMMUNITY ACTION COMMITTEE	\$265,590.00	YES	Government
MERICORPS	UNIVERSITY OF TN	\$384,237.00	YES	Government
MERICORPS	UNIVERSITY OF TN	\$398,871.00	YES	Government
CONSULTING	UNIVERSITY OF TN	\$75,000.00		Government
CONSULTING	UNIVERSITY OF TN	\$75,000.00		Government
Edward Byrne Grant	Tellico Plains Police Department	\$1,041.00	YES	Government
Edward Byrne Grant	Metropolitan Moore County Sheriff	\$1,410.00	YES	Government
Edward Byrne Grant	Blount County Sheriff's Office	\$2,250.00	YES	Government
Edward Byrne Grant	Bradley County Sheriff's Department	\$2,662.00	YES	Government
Edward Byrne Grant	Mason Police Department	\$2,944.00	YES	Government
Edward Byrne Grant	Office of Research and Education Accountability	\$3,009.00	YES	Government
Edward Byrne Grant	23rd Judicial District Public Defenders Office	\$4,954.00	YES	Government
Edward Byrne Grant	Graysville Police Department	\$6,184.00	YES	Government
Edward Byrne Grant	Newbern Police Department	\$6,369.00	YES	Government
Edward Byrne Grant	Roane Co. Sheriff's Dept.	\$7,876.00	YES	Government
Edward Byrne Grant	Hartsville Trousdale Co. Sheriff's Department	\$8,682.00	YES	Government
Edward Byrne Grant	Lexington Police Department	\$9,113.00	YES	Government
Edward Byrne Grant	Collinwood Police Department	\$9,255.00	YES	Government
Edward Byrne Grant	Henderson Police Department	\$9,255.00	YES	Government
Edward Byrne Grant	Soddy Daisy Police Department	\$9,255.00	YES	Government
Edward Byrne Grant	Wayne County Sheriff Department	\$9,255.00	YES	Government
Edward Byrne Grant	Calhoun Police Department	\$9,435.00	YES	Government
Edward Byrne Grant	Knox County Schools	\$10,000.00	YES	Government
Edward Byrne Grant	Gruetli-Laager Police Department	\$11,250.00	YES	Government
Edward Byrne Grant	Sequatchie County Sheriff Department	\$12,149.00	YES	Government



Edward Byrne Grant	Greenfield Police Department	\$12,806.00	YES	Government
Edward Byrne Grant	Putnam County Sheriff's Department	\$13,086.00	YES	Government
Edward Byrne Grant	Tennessee Corrections Institute	\$13,650.00	YES	Government
Edward Byrne Grant	Tennessee Administrative Office of the Courts	\$14,582.00	YES	Government
Edward Byrne Grant	30th Judicial District Attorney General	\$16,619.00	YES	Government
Edward Byrne Grant	Grainger County Sheriff's Department	\$18,000.00	YES	Government
Edward Byrne Grant	Perry County Sheriff's Department	\$18,000.00	YES	Government
Edward Byrne Grant	6th Judicial District	\$20,241.00	YES	Government
Edward Byrne Grant	Clinton Police Department	\$20,960.00	YES	Government
Edward Byrne Grant	Brownsville Police Department	\$22,210.00	YES	Government
Edward Byrne Grant	Dyersburg Police Department	\$22,210.00	YES	Government
Edward Byrne Grant	Harriman Police Department	\$22,210.00	YES	Government
Edward Byrne Grant	Stewart County Sheriff's Department	\$22,210.00	YES	Government
Edward Byrne Grant	Tennessee District Attorneys General Conference	\$23,601.00	YES	Government
Edward Byrne Grant	Tennessee Administrative Office of the Courts	\$24,000.00	YES	Government
Edward Byrne Grant	Ridgetop Police Department	\$24,663.00	YES	Government
Edward Byrne Grant	Lewis County Government	\$24,910.00	YES	Government
Edward Byrne Grant	Tennessee Bureau of Investigation	\$25,303.00	YES	Government
Edward Byrne Grant	Knox County Sheriff's Office	\$27,347.00	YES	Government
Edward Byrne Grant	Office of Research and Education Accountability	\$28,797.00	YES	Government
Edward Byrne Grant	Decatur County Juvenile Court	\$28,915.00	YES	Government
Edward Byrne Grant	Claiborne County Sheriff's Office	\$29,885.00	YES	Government
Edward Byrne Grant	30th Judicial District	\$30,203.00	YES	Government
Edward Byrne Grant	Tennessee Department of Commerce & Insurance	\$32,181.00	YES	Government
Edward Byrne Grant	Davidson County Sheriff's Office	\$32,475.00	YES	Government
Edward Byrne Grant	Shelby County Government Division of Community Services	\$33,043.00	YES	Government
Edward Byrne Grant	Morgan County Board of Education	\$33,150.00	YES	Government
Edward Byrne Grant	Haywood County Government	\$34,852.00	YES	Government
Edward Byrne Grant	State Trial Courts	\$36,808.00	YES	Government
Edward Byrne Grant	15th Judicial District Attorney General	\$37,500.00	YES	Government
Edward Byrne Grant	22nd Judicial District Attorney General	\$37,500.00	YES	Government
Edward Byrne Grant	Anderson County School System	\$37,500.00	YES	Government
Edward Byrne Grant	Shelby County Sheriff's Office	\$37,613.00	YES	Government
Edward Byrne Grant	Tennessee District Attorneys General Conference	\$37,950.00	YES	Government
Edward Byrne Grant	Johnson County Sheriff's Department	\$38,526.00	YES	Government
Edward Byrne Grant	Metropolitan Public Defender's Office	\$39,375.00	YES	Government

Edward Byrne Grant	Washington County Sheriff's Department	\$40,896.00	YES	Government
Edward Byrne Grant	Tennessee Alcoholic Beverage Commission	\$41,049.00	YES	Government
Edward Byrne Grant	30th Judicial District Attorney General	\$41,713.00	YES	Government
Edward Byrne Grant	22nd Judicial District Attorney General	\$41,918.00	YES	Government
Edward Byrne Grant	12th Judicial District Public Defenders Office	\$42,854.00	YES	Government
Edward Byrne Grant	Select Committee on Children and Youth	\$43,003.00	YES	Government
Edward Byrne Grant	Maury County Sheriff's Department	\$45,315.00	YES	Government
Edward Byrne Grant	8th Judicial District Public Defenders Office	\$46,343.00	YES	Government
Edward Byrne Grant	Tennessee District Attorneys General Conference	\$47,482.00	YES	Government
Edward Byrne Grant	12th Judicial District Drug Task Force	\$47,700.00	YES	Government
Edward Byrne Grant	East Tennessee Human Resource Agency	\$48,875.00	YES	Government
Edward Byrne Grant	Shelby County Division of Corrections	\$50,113.00	YES	Government
Edward Byrne Grant	Tennessee Law Enforcement Training Academy	\$53,075.00	YES	Government
Edward Byrne Grant	Hamilton County Government	\$55,500.00	YES	Government
Edward Byrne Grant	13th Judicial District	\$56,318.00	YES	Government
Edward Byrne Grant	Tennessee District Attorneys General Conference	\$56,625.00	YES	Government
Edward Byrne Grant	17th Judicial District	\$58,950.00	YES	Government
Edward Byrne Grant	Knoxville Police Department	\$59,702.00	YES	Government
Edward Byrne Grant	Hamblen County Sheriff's Department	\$59,835.00	YES	Government
Edward Byrne Grant	Rutherford County Sheriff's Office	\$61,582.00	YES	Government
Edward Byrne Grant	Metropolitan Public Defender's Office	\$63,417.00	YES	Government
Edward Byrne Grant	Tennessee District Attorneys General Conference	\$63,743.00	YES	Government
Edward Byrne Grant	16th Judicial District Attorney General	\$64,210.00	YES	Government
Edward Byrne Grant	Tennessee Administrative Office of the Courts	\$65,000.00	YES	Government
Edward Byrne Grant	Davidson County Community Corrections Program	\$70,000.00	YES	Government
Edward Byrne Grant	20th Judicial District Attorney General	\$70,308.00	YES	Government
Edward Byrne Grant	Coffee County Sheriff's Office	\$72,509.00	YES	Government
Edward Byrne Grant	Knoxville Police Department	\$73,689.00	YES	Government
Edward Byrne Grant	Memphis Area Neighborhood Watch, Inc.	\$75,000.00	YES	Government
Edward Byrne Grant	Tennessee Bureau of Investigation	\$75,000.00	YES	Government
Edward Byrne Grant	Tennessee Department of Safety	\$75,000.00	YES	Government
Edward Byrne Grant	Davidson County General Sessions Court	\$79,584.00	YES	Government
Edward Byrne Grant	Shelby County Government	\$82,500.00	YES	Government
Edward Byrne Grant	20th Judicial District	\$90,000.00	YES	Government
Edward Byrne Grant	Tennessee Administrative Office of the Courts	\$93,750.00	YES	Government
Edward Byrne Grant	Tennessee Public Defenders Conference	\$93,750.00	YES	Government

Edward Byrne Grant	1st Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	2nd Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	3rd Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	4th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	5th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	6th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	8th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	9th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	10th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	12th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	13th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	15th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	17th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	18th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	19th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	21st Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	22nd Judicial District Drug Task Force	\$95,000.00	YES	Government
Edward Byrne Grant	23rd Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	24th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	25th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	27th Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	31st Judicial District	\$95,000.00	YES	Government
Edward Byrne Grant	Cheatham County Probation Department	\$95,000.00	YES	Government
Edward Byrne Grant	14th Judicial District	\$96,500.00	YES	Government
Edward Byrne Grant	Clarksville Police Department	\$98,385.00	YES	Government
Edward Byrne Grant	Knoxville Police Department	\$107,854.00	YES	Government
Edward Byrne Grant	Tennessee Administrative Office of the Courts	\$110,000.00	YES	Government
Edward Byrne Grant	Tennessee Administrative Office of the Courts	\$111,250.00	YES	Government
Edward Byrne Grant	Tennessee District Attorneys General Conference	\$125,009.00	YES	Government
Edward Byrne Grant	Shelby County Division of Corrections	\$125,657.00	YES	Government
Edward Byrne Grant	Knox County Metropolitan Drug Court	\$129,998.00	YES	Government
Edward Byrne Grant	Tennessee District Attorneys General Conference	\$134,417.00	YES	Government
Edward Byrne Grant	Tennessee Department of Correction	\$137,001.00	YES	Government
Edward Byrne Grant	Blount County Government	\$139,002.00	YES	Government
Edward Byrne Grant	Tennessee District Attorneys General Conference	\$142,144.00	YES	Government
Edward Byrne Grant	Tennessee District Public Defenders Conference	\$153,359.00	YES	Government

Edward Byrne Grant	Tennessee Public Defenders Conference	\$156,571.00	YES	Government
Edward Byrne Grant	Tennessee Bureau of Investigation	\$193,603.00	YES	Government
Edward Byrne Grant	Hamilton County Sheriff's Office	\$200,000.00	YES	Government
Edward Byrne Grant	West Tennessee Violent Crime & Drug TF	\$285,000.00	YES	Government
Edward Byrne Grant	Davidson County Sheriff's Office	\$372,149.00	YES	Government
Edward Byrne Grant	Tennessee District Attorneys General Conference	\$750,450.00	YES	Government
Fingerprint Imaging Systems	Hardeman County Sheriff's Department	\$33,000.00	YES	Government
Fingerprint Imaging Systems	Hawkins County Sheriff's Office	\$33,000.00	YES	Government
Fingerprint Imaging Systems	Henry County Sheriff's Department	\$33,000.00	YES	Government
Fingerprint Imaging Systems	Jefferson County Sheriff's Office	\$33,000.00	YES	Government
Fingerprint Imaging Systems	Lauderdale County Sheriff's Department	\$33,000.00	YES	Government
Fingerprint Imaging Systems	Lawrence County Sheriff's Department	\$33,000.00	YES	Government
Fingerprint Imaging Systems	McNairy County Sheriff's Office	\$33,000.00	YES	Government
Fingerprint Imaging Systems	Pigeon Forge Police Department	\$33,000.00	YES	Government
Fingerprint Imaging Systems	Tennessee Bureau Of Investigation	\$350,000.00	YES	Government
AW ENFORCEMENT BLOCK GRANT	TBI	\$660,985.00	YES	Government
EARN & SERVE PROGRAM	UNIVERSITY OF TN	\$128,000.00	YES	Government
EARN & SERVE PROGRAM	UNIVERSITY OF TN	\$199,000.00	YES	Government
NATIONAL CRIME HISTORIES	ADMINISTRATIVE OFFICE OF THE COURTS	\$218,316.00	YES	Government
NATIONAL CRIME HISTORIES	DISTRICT ATTORNEYS GENERAL CONFERENCE	\$307,126.00	YES	Government
NATIONAL CRIME HISTORIES	TBI	\$710,652.00	YES	Government
PDAT	SOUTHWEST TN COMMUNITY COLLEGE	\$2,100.00	YES	Government
PDAT	SOUTHWEST TN COMMUNITY COLLEGE	\$2,321.00	YES	Government
PDAT	DEPARTMENT OF MENTAL HEALTH	\$2,332.00	YES	Government
PDAT	UNIVERSITY OF TN	\$2,576.76	YES	Government
PDAT	KNOXVILLE/KNOX CO COMMUNITY ACTION COMMITTEE	\$2,775.00	YES	Government
PDAT	KNOXVILLE/KNOX CO COMMUNITY ACTION COMMITTEE	\$2,900.00	YES	Government
PDAT	UNIVERSITY OF TN	\$6,841.20	YES	Government
PROMISE FELLOWS	DAVIDSON CO COMMUNITY SERVICES AGENCY	\$10,800.00	YES	Government
PROMISE FELLOWS	NORTHEAST COMMUNITY SERVICES AGENCY	\$21,600.00	YES	Government
PROMISE FELLOWS	SOUTH CENTRAL COMMUNITY SERVICES AGENCY	\$21,600.00	YES	Government
PSAT	Washington County Sheriff's Office	\$129,291.00	YES	Government
PSAT	Woodland Hills Youth Development Center	\$168,161.00	YES	Government
PSAT	Shelby County Division of Corrections	\$268,802.00	YES	Government
PSAT	Davidson County Community Corrections Program	\$317,572.00	YES	Government
PSAT	Tennessee Department of Correction	\$331,500.00	YES	Government

ISTOP Violence	Tennessee District Attorneys General Conference	\$12,204.00	YES	Government
ISTOP Violence	Tennessee Administrative Office of the Courts	\$15,000.00	YES	Government
ISTOP Violence	Legal Aid of East Tennessee, Inc.	\$19,747.00	YES	Government
ISTOP Violence	Etowah Public Safety Department	\$21,836.00	YES	Government
ISTOP Violence	Legal Aid Society of Middle Tennessee and the Cumberland	\$29,076.00	YES	Government
ISTOP Violence	Memphis Sexual Assault Resource Center	\$29,168.00	YES	Government
ISTOP Violence	Shelby County Government Victims Assistance Center	\$29,846.00	YES	Government
ISTOP Violence	LaVergne Police Department	\$33,240.00	YES	Government
ISTOP Violence	Sumner County Sheriff's Department	\$36,694.00	YES	Government
ISTOP Violence	Johnson City Bureau of Police	\$37,479.00	YES	Government
ISTOP Violence	Shelby County Government Victims Assistance Center	\$48,278.00	YES	Government
ISTOP Violence	Montgomery County Sheriff's Department	\$53,701.00	YES	Government
ISTOP Violence	Cocke County Sheriff's Department	\$56,317.00	YES	Government
ISTOP Violence	Tennessee District Attorneys General Conference	\$196,031.00	YES	Government
ISTOP Violence	Metropolitan Nashville Police Department	\$45,370.00	YES	Government
ISTOP Violence	Tennessee District Attorneys General Conference	\$521,550.00	YES	Government
STUDENT ASSISTANT	NASHVILLE STATE TECHNICAL INSTITUTE	\$72,000.00	YES	Government
STUDENT ASSISTANT	NASHVILLE STATE TECHNICAL INSTITUTE	\$3,439,600.00		Government
RAINING / NATIONAL SERVICE	EAST TN STATE UNIVERSITY	\$9,000.00	YES	Government
RAINING TECHNICAL ASSISTANCE	EAST TN STATE UNIVERSITY	\$15,000.00	YES	Government
Victims of Crime	TN District Attorneys General Conference	\$24,560.00	YES	Government
Victims of Crime	1st Judicial District	\$29,233.00	YES	Government
Victims of Crime	6th Judicial District	\$29,919.28	YES	Government
Victims of Crime	Memphis Sexual Assault Resource Center	\$30,695.00	YES	Government
Victims of Crime	28th Judicial District Attorney General	\$31,662.00	YES	Government
Victims of Crime	Shelby County Government Victims Assistance Center	\$34,190.00	YES	Government
Victims of Crime	Metropolitan Police Department	\$55,724.00	YES	Government
Victims of Crime	20th Judicial District	\$65,418.00	YES	Government
Victims of Crime	20th Judicial District	\$82,192.00	YES	Government
Victims of Crime	Shelby County Government Victims Assistance Center	\$112,500.00	YES	Government
Victims of Crime	30th Judicial District Attorney General	\$41,352.00	YES	Government
Victims of Crime	Memphis Sexual Assault Resource Center	\$199,120.00	YES	Government
		<b>\$20,621,710.24</b>		
Family Violence Shelter Services	Family and Children's Services of Chattanooga, Inc	\$72,695.00	YES	Not Minority/Disadvantaged
Victims of Crime	Tennessee Court Appointed Special Advocate Association	\$710.00	YES	Not Minority/Disadvantaged
Victims of Crime	Highland Rim CMHC	\$14,840.00	YES	Not Minority/Disadvantaged

Victims of Crime	Pathways of Tennessee	\$41,980.00	YES	Not Minority/Disadvantaged
Victims of Crime	Centerstone Community MHC	\$44,688.00	YES	Not Minority/Disadvantaged
Victims of Crime	Harriett Cohn Center	\$56,810.00	YES	Not Minority/Disadvantaged
Victims of Crime	Centerstone Community MHC	\$62,885.00	YES	Not Minority/Disadvantaged
Victims of Crime	Performance Vistas, Inc.	\$119,183.00	YES	Not Minority/Disadvantaged
Victims of Crime	Volunteer Behavioral Health Care System	\$148,878.00	YES	Not Minority/Disadvantaged
AMERICAS PROMISE FELLOWS	REACHS INC	\$10,550.00	YES	Not Minority/Disadvantaged
AMERICAS PROMISE FELLOWS	UNITED WAY / ANDERSON CO INC	\$10,550.00	YES	Not Minority/Disadvantaged
MERICORPS	VANDERBILT UNIVERSITY MEDICAL CENTER	\$121,000.00	YES	Not Minority/Disadvantaged
MERICORPS	AMERICAN RED CROSS	\$128,700.00	YES	Not Minority/Disadvantaged
MERICORPS	VANDERBILT UNIVERSITY CENTER	\$160,962.00	YES	Not Minority/Disadvantaged
MERICORPS	UPPER CUMBERLAND COMMUNITY SERVICES AGENCY	\$188,603.00	YES	Not Minority/Disadvantaged
MERICORPS	PORTER LEATH CHILDREN'S CENTER	\$210,600.00	YES	Not Minority/Disadvantaged
MERICORPS	APPALACHIA HABITAT FOR HUMANITY	\$217,800.00	YES	Not Minority/Disadvantaged
MERICORPS	PORTER-LEATH CHILDREN'S CENTER	\$217,800.00	YES	Not Minority/Disadvantaged
MERICORPS	EMERALD YOUTH FOUNDATION	\$235,950.00	YES	Not Minority/Disadvantaged
MERICORPS	CLINCH POWELL RC&D COUNCIL	\$241,999.00	YES	Not Minority/Disadvantaged
COLLECTION AGENCY	OSI COLLECTIONS INC	\$500,000.00		Not Minority/Disadvantaged
COMMUNITY SERVICE	UPPER CUMBERLAND COMMUNITY SERVICES AGENCY	\$184,246.00	YES	Not Minority/Disadvantaged
COMMUNITY SERVICE	EMERALD YOUTH FOUNDATION	\$222,299.00	YES	Not Minority/Disadvantaged
COMMUNITY SERVICE	APPALACHIA HABITAT FOR HUMANITY	\$233,984.00	YES	Not Minority/Disadvantaged
COMMUNITY SERVICE	CLINCH POWELL RC&D COUNCIL	\$280,757.00	YES	Not Minority/Disadvantaged
CONSULTING	JAMES CHAFIN	\$15,000.00		Not Minority/Disadvantaged
CONSULTING	PORTLAND ENERGY CONSERVATION INC	\$100,000.00		Not Minority/Disadvantaged
CONSULTING	WILLIAM M MERCER INC	\$1,000,000.00		Not Minority/Disadvantaged
CREDIT CARD SERVICE	CANCELED: UNIFIED MERCHANT SERVICES & FIRST FINANCE	\$0.00		Not Minority/Disadvantaged
CREDIT CARD SERVICE	DISCOVER CARD SERVICES INC	\$0.00		Not Minority/Disadvantaged
CREDIT CARD SERVICE	AMERICAN EXPRESS	\$0.00		Not Minority/Disadvantaged
CREDIT CARD SERVICE	AMERICAN EXPRESS TRAVEL RELATED SERVICES CO	\$1,000,000.00		Not Minority/Disadvantaged
CREDIT CARD SERVICE	DISCOVER FINANCIAL SERVICES INC	\$1,000,000.00		Not Minority/Disadvantaged
CREDIT CARD SERVICE	KEY MERCHANT SERVICES LLC	\$5,000,000.00		Not Minority/Disadvantaged
CAP/MH/SUBSTANCE ABUSE	UNITED BEHAVIORAL HEALTH	\$34,445,000.00		Not Minority/Disadvantaged
EXECUTIVE SEARCH	TMP WORLDWIDE	\$98,500.00		Not Minority/Disadvantaged
FAMILY VIOLENCE SHELTER	PREVENT CHILD ABUSE TN	\$25,000.00	YES	Not Minority/Disadvantaged
INSURANCE	FORT DEARBORN LIFE INSURANCE CO	\$50,950,000.00		Not Minority/Disadvantaged
INSURANCE / CONSULTING	MEDSTAT GROUP INC	\$2,400,000.00		Not Minority/Disadvantaged

NSURANCE / DENTAL	FORTIS BENEFITS	\$12,750,000.00		Not Minority/Disadvantaged
NSURANCE / DENTAL	FORTIS BENEFITS	\$18,000,000.00		Not Minority/Disadvantaged
NSURANCE / HMO	TN HEALTHCARE NETWORK INC	\$12,000,000.00		Not Minority/Disadvantaged
NSURANCE / HMO	JOHN DEERE HEALTH CARE INC / TRI CITIES	\$30,000,000.00		Not Minority/Disadvantaged
NSURANCE / HMO	JOHN DEERE HEALTH CARE INC / CHATTANOOGA	\$40,000,000.00		Not Minority/Disadvantaged
NSURANCE / HMO	CANCELED: UNITED HEALTHCARE OF TN INC	\$50,000,000.00		Not Minority/Disadvantaged
NSURANCE / HMO	CANCELED: UNITED HEALTHCARE OF TN INC	\$55,000,000.00		Not Minority/Disadvantaged
NSURANCE / HMO	JOHN DEERE HEALTH CARE INC	\$135,000,000.00		Not Minority/Disadvantaged
NSURANCE / HMO / MEMPHIS	AETNA LIFE INSURANCE / MEMPHIS	\$250,000.00		Not Minority/Disadvantaged
NSURANCE / HMO / NASHVILLE	AETNA LIFE INSURANCE / NASHVILLE	\$350,000.00		Not Minority/Disadvantaged
NSURANCE / MEDICARE SUPP	BLUE CROSS BLUE SHIELD / TN	\$125,000,000.00		Not Minority/Disadvantaged
NSURANCE / POS EAST REGION	JOHN DEERE HEALTH CARE INC	\$150,000,000.00		Not Minority/Disadvantaged
NSURANCE / POS MIDDLE REGION	BLUE CROSS BLUE SHIELD / TN	\$85,000,000.00		Not Minority/Disadvantaged
NSURANCE / POS WEST REGION	BLUE CROSS BLUE SHIELD / TN	\$55,000,000.00		Not Minority/Disadvantaged
NSURANCE / PPO	BLUE CROSS BLUE SHIELD / TN	\$93,000,000.00		Not Minority/Disadvantaged
NSURANCE / PPO	BLUE CROSS BLUE SHIELD / TN	\$79,000,000.00		Not Minority/Disadvantaged
NSURANCE / TERM LIFE	PROVIDENT LIFE AND ACCIDENT INSURANCE CO	\$13,000,000.00		Not Minority/Disadvantaged
NSURANCE / UNIVERSAL LIFE	PROVIDENT LIFE AND ACCIDENT INSURANCE CO	\$20,000,000.00		Not Minority/Disadvantaged
NTERN	RICHARD THOMAS RITTENBERRY	\$2,250.00	YES	Not Minority/Disadvantaged
NTERN	MICHAEL BROWN	\$6,000.00	YES	Not Minority/Disadvantaged
NTERN	RACHEL E SMITH	\$3,375.00	YES	Not Minority/Disadvantaged
IT / CAD SYSTEM	INTERGRAPH PUBLIC SAFETY	\$2,500,000.00		Not Minority/Disadvantaged
IT / CONSULTING	GARTNER GROUP INC	\$500,000.00		Not Minority/Disadvantaged
IT / DISASTER RECOVERY	INTERNATIONAL BUSINESS MACHINES INC	\$1,292,000.00		Not Minority/Disadvantaged
IT / DISASTER RECOVERY	INTERNATIONAL BUSINESS MACHINES INC	\$1,330,000.00		Not Minority/Disadvantaged
IT / EBT SERVICE	CITIBANK FSB	\$21,102,900.00		Not Minority/Disadvantaged
IT / GIS & DATA CONVERSION	TN GEOGRAPHIC INFORMATION	\$17,500,000.00		Not Minority/Disadvantaged
IT / IMAGING INTEGRATION	COVANSYS	\$9,000,000.00		Not Minority/Disadvantaged
IT / INFORMATION SYSTEM NETWORK	BELLSOUTH / QWEST COMMUNICATIONS	\$134,000,000.00		Not Minority/Disadvantaged
IT / INTERNET PORTAL	NATIONAL INFORMATION CONSORTIUM USA INC	\$2,862,500.00		Not Minority/Disadvantaged
IT / MAINTENANCE AT&T/CISCO NET EQUIP	AVAYA INC	\$8,000,000.00		Not Minority/Disadvantaged
IT / MHMR INFORMATION SYSTEM	CREATIVE SOCIO-MEDICS CORP	\$2,142,894.00		Not Minority/Disadvantaged
IT / PROFESSIONAL SERVICE	CIMS LAB INC	\$78,000.00		Not Minority/Disadvantaged
IT / PROFESSIONAL SERVICE	COVANSYS	\$5,000,000.00		Not Minority/Disadvantaged
IT / PROFESSIONAL SERVICE	TAT CONSULTANCY SERVICES	\$5,000,000.00		Not Minority/Disadvantaged
IT / PROFESSIONAL SERVICE	CIBER INC	\$8,854,168.00		Not Minority/Disadvantaged

Γ / PROFESSIONAL SERVICE	SCB COMPUTER TECHNOLOGY INC	\$13,835,000.00		Not Minority/Disadvantaged
Γ / PROFESSIONAL SERVICE	LOCAL GOVERNMENT DATA PROCESSING CORPORATION	\$15,000,000.00		Not Minority/Disadvantaged
Γ / PROFESSIONAL SERVICE	MAJESTIC SYSTEMS INTEGRATION CO NASHVILLE INC	\$21,521,265.00		Not Minority/Disadvantaged
Γ / PROFESSIONAL SERVICE	SCB COMPUTER TECHNOLOGY INC	\$36,544,563.00		Not Minority/Disadvantaged
Γ / TRAINING	NATIONAL EDUCATION TRAINING GROUP INC	\$719,400.00		Not Minority/Disadvantaged
Γ / TRIPS	NEW CENTURY TECHNOLOGY INC	\$916,360.00		Not Minority/Disadvantaged
Γ / TRUST SYSTEM	COVANSYS	\$24,453,727.27		Not Minority/Disadvantaged
EARN & SERVE PROGRAM	LINDA A MOHON	\$3,000.00	YES	Not Minority/Disadvantaged
EARN & SERVE PROGRAM	THEODORE KOZELKA	\$5,000.00	YES	Not Minority/Disadvantaged
EARN & SERVE PROGRAM	POINTS OF LIGHT FOUNDATION	\$22,000.00	YES	Not Minority/Disadvantaged
MARKET ANALYSIS IT POSITIONS	MERCER HUMAN RESOURCE CONSULTING	\$2,500.00		Not Minority/Disadvantaged
NATIONAL SERVICE COORDINATION	TOMMY ALLEN ROYSTON	\$94,000.00	YES	Not Minority/Disadvantaged
NATIONAL SERVICE PROGRAMS	VOLUNTEER CENTER OF GREENEVILLE/GREENE CO	\$9,000.00	YES	Not Minority/Disadvantaged
NATIONAL SERVICE PROGRAMS	VOLUNTEER CENTER OF MEMPHIS	\$9,718.00	YES	Not Minority/Disadvantaged
PDAT	APPALACHIA HABITAT FOR HUMANITY	\$1,445.60	YES	Not Minority/Disadvantaged
PDAT	REGIONAL INTERVENTION PROGRAM ADVISORY COMMITTEE	\$2,200.00	YES	Not Minority/Disadvantaged
PDAT	PORTER LEATH CHILDREN'S CENTER	\$2,230.00	YES	Not Minority/Disadvantaged
PDAT	PORTER LEATH CHILDREN'S CENTER	\$2,332.00	YES	Not Minority/Disadvantaged
PDAT	UPPER CUMBERLAND COMMUNITY SERVICES AGENCY	\$2,332.00	YES	Not Minority/Disadvantaged
PDAT	APPALACHIA HABITAT FOR HUMANITY	\$2,333.00	YES	Not Minority/Disadvantaged
PDAT	VANDERBILT UNIVERSITY MEDICAL CENTER	\$2,399.00	YES	Not Minority/Disadvantaged
PDAT	UPPER CUMBERLAND COMMUNITY SERVICES AGENCY	\$2,710.00	YES	Not Minority/Disadvantaged
PDAT	EMERALD YOUTH FOUNDATION	\$2,832.00	YES	Not Minority/Disadvantaged
PDAT	CLINCH POWELL RC&D COUNCIL	\$2,882.40	YES	Not Minority/Disadvantaged
PDAT	CLINCH POWELL RC&D COUNCIL	\$2,882.40	YES	Not Minority/Disadvantaged
PDAT	EMERALD YOUTH FOUNDATION	\$3,075.00	YES	Not Minority/Disadvantaged
PDAT	VANDERBILT UNIVERSITY MEDICAL CENTER	\$3,407.00	YES	Not Minority/Disadvantaged
PDAT	AMERICAN RED CROSS	\$2,582.40	YES	Not Minority/Disadvantaged
PROMISE WIRING SERVICE	GENERAL FIBER COMMUNICATIONS INC	\$23,500,000.00		Not Minority/Disadvantaged
PROMISE FELLOWS	EAST TN COMMUNITY SERVICES AGENCY	\$10,800.00	YES	Not Minority/Disadvantaged
PROMISE FELLOWS	REACHS INC	\$10,800.00	YES	Not Minority/Disadvantaged
PROMISE FELLOWS	SOUTHEAST COMMUNITY SERVICES AGENCY	\$10,800.00	YES	Not Minority/Disadvantaged
PROMISE FELLOWS	MID CUMBERLAND COMMUNITY SERVICES AGENCY	\$21,600.00	YES	Not Minority/Disadvantaged
PROMISE FELLOWS	UPPER CUMBERLAND COMMUNITY SERVICES AGENCY	\$47,400.00	YES	Not Minority/Disadvantaged
PROMISE FELLOWS	KNOXVILLE PROMISE	\$67,715.00	YES	Not Minority/Disadvantaged
PROMISE FELLOWS	KNOXVILLE PROMISE	\$75,600.00	YES	Not Minority/Disadvantaged



REVENUE MAXIMIZATION	PUBLIC CONSULTING GROUP INC	\$2,000,000.00		Not Minority/Disadvantaged
SPACE PLANNING	INTERIOR DESIGN SERVICES INC	\$875,000.00		Not Minority/Disadvantaged
TECHNICAL ASSISTANCE	UNITED WAY / GREATER KINGSPORT	\$21,000.00	YES	Not Minority/Disadvantaged
TRAINING	QUEST INTERNATIONAL	\$6,000.00		Not Minority/Disadvantaged
TRAINING & SUPPORT SERVICE	VERSA MANAGEMENT SYSTEMS INC	\$300,000.00		Not Minority/Disadvantaged
TRAINING & TECHNICAL ASSISTANCE	VOLUNTEER MEMPHIS	\$8,988.00	YES	Not Minority/Disadvantaged
TRAINING / NATIONAL SERVICE	UNITED WAY / GREATER KINGSPORT	\$4,000.00	YES	Not Minority/Disadvantaged
TRAINING TEACHER ASSISTANTS	UNITED WAY / GREATER CHATTANOOGA	\$23,709.00	YES	Not Minority/Disadvantaged
WELLNESS PROGRAM	GORDIAN HEALTH SOLUTIONS	\$3,000,000.00		Not Minority/Disadvantaged
YES AMBASSADOR	POINTS OF LIGHT FOUNDATION	\$25,540.00	YES	Not Minority/Disadvantaged
		<b>\$1,435,466,184.07</b>		
TITLE & CLOSING SERVICE	REAL ESTATE LOAN SERVICES INC	\$500,000.00		Not Registered
MERICORPS	LEADERSHIP UPPER CUMBERLAND	\$102,850.00	YES	Small Business
MERICORPS	LEADERSHIP UPPER CUMBERLAND	\$116,999.00	YES	Small Business
MERICORPS	NASHVILLE READ INC	\$241,981.00	YES	Small Business
MERICORPS	EXCHANGE CLUB FAMILY CENTER / MEMPHIS & SHELBY	\$250,861.00	YES	Small Business
MERICORPS	EXCHANGE CLUB FAMILY CENTER / MID SOUTH INC	\$259,117.00	YES	Small Business
COMMUNITY SERVICE	NASHVILLE READ INC	\$348,100.00	YES	Small Business
CONSULTING	COLLINS AND CO INC	\$84,000.00		Small Business
Edward Byrne Grant	Performance Vistas, Inc.	\$95,625.00	YES	Small Business
EDWARD BYRNE GRANT	PERFORMANCE VISTAS INC	\$267,500.00	YES	Small Business
IT / DATA ENTRY	KNOXVILLE COMPUTER CORPORATION	\$1,300,000.00		Small Business
IT / PROFESSIONAL SERVICE	ONLINE INC	\$215,000.00		Small Business
IT / PROFESSIONAL SERVICE	KEANE INC	\$10,219,411.00		Small Business
IT / SOFTWARE SUPPORT	ONLINE INC	\$40,000.00		Small Business
MDAT	LEADERSHIP UPPER CUMBERLAND	\$1,002.57	YES	Small Business
MDAT	NASHVILLE READ INC	\$2,198.00	YES	Small Business
MDAT	NASHVILLE READ INC	\$2,352.00	YES	Small Business
MDAT	LEADERSHIP UPPER CUMBERLAND	\$3,157.20	YES	Small Business
MDAT	EXCHANGE CLUB FAMILY CENTER / MID SOUTH INC	\$5,220.00	YES	Small Business
MDAT	ALGONQUIN PARTNERS LLC	\$6,000.00	YES	Small Business
PROGRAM DEVELOPMENT	EXCHANGE CLUB FAMILY CENTER	\$12,970.00	YES	Small Business
TRAINING	PAUL GLICK	\$4,300.00		Small Business
TRAINING	PAUL GLICK	\$4,300.00		Small Business
TRAINING	MOODY CONSULTING INC	\$212,000.00		Small Business
UTILITIES ANALYSIS	SOUTHEASTERN UTILITY SERVICES INC	\$150,000.00		Small Business

		\$14,444,943.77		
TOTAL		\$1,497,451,733.78		



STATE OF TENNESSEE  
**DEPARTMENT OF FINANCE AND ADMINISTRATION**  
DIVISION OF RESOURCE DEVELOPMENT AND SUPPORT  
OFFICE OF CONTRACTS REVIEW  
SUITE 1450 ANDREW JACKSON BUILDING  
NASHVILLE, TENNESSEE 27243-1700  
(615) 741-7662 FAX: (615) 532-2989

DON SUNDQUIST  
GOVERNOR

JOHN D. FERGUSON  
COMMISSIONER

**The Department of Finance and Administration's (F&A) Achievement Through Diversity (ATD) program serves to meet the implementation planning and annual reporting requirements of Tennessee Code Annotated 4-21-901, et seq. and Tennessee Code Annotated 4-4-123.**

Further, Achievement Through Diversity is F&A's effort to foster the intents of and ensure compliance with:

- ◆ Title VI of the Civil Rights Act of 1964
- ◆ Title IX of the Education Amendments Act of 1972
- ◆ Section 504 of the Rehabilitation Act of 1973
- ◆ The Age Discrimination Act of 1975
- ◆ The Americans with Disabilities Act of 1990

The program aims to effect not only absolute nondiscrimination on the basis of race, color, national origin, gender, disability, or age, but also maximum organizational achievement through the effective incorporation of diversity in daily business.

1. Which of the following components do you feel is most important for an effective Agency Title VI Plan in the Achievement through Diversity Program? Please rank the components on a scale of 1-10 with one being most important and ten being least important. Each number may only be assigned to one component.

___ Compliance Reviews	___ Complaint Procedures
___ Documentation of Minority Input	___ Civil Rights Policy
___ Public Notification	___ Compliance Reporting
___ Staff & Budgetary Resources/Training	___ Statements of Assurances
___ Agency Title VI Goals & Objectives	

2. Are there any other components not listed above which you feel are important in an effective Title VI plan? If so, what are they? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

3. Do you think that a 5-year implementation plan with annual compliance reviews to measure outcomes would be effective? Why or why not?

---

---

---

---

4. What do you believe will most effectively ensure Agency Title VI compliance?

---

---

---

---

---

---

5. Please provide us with any feedback or suggestions you believe will be helpful in this planning process.

---

---

---

---

---

---

---

Thank you for your participation and input. This information is very valuable to us as we develop an Achievement through Diversity Program, which we hope will be conducive to positive outcomes throughout the Department of Finance and Administration and across State Government.

---

**APPENDIX 3—PROTECTED BENEFICIARY REPRESENTATIVES SURVEYED**

---

<b>Title VI</b>			
The Tennessee Hispanic Chamber of Commerce	PO Box 69 Hermitage, TN 37076	615-884-5050	Greg Rodriguez
The Greater Nashville Black Chamber of Commerce	2719 Jefferson Street, Ste. G Nashville, TN 37208	321-5053	Neal Darby
The Nashville Minority Business Development Center	14 Academy Place, Nashville, TN 37210	615-255-0432	Marilyn Robinson
<b>Title IX</b>			
League of Women Voters of Tennessee	1701 21 <sup>st</sup> Avenue South, Nashville, TN 37212	615-297-7134	
The Women's Center	419 Welshwood Drive, Nashville, TN 37211	615-331-1200	

## APPENDIX 4—SERVICE PROCUREMENT ACCOUNTABILITY CONTINUUM

### I. Procurement Methodology

#### A. Request for Proposal (RFP) with specifically required, non-discrimination accountability provisions:

##### 1. Nondiscrimination

No person shall be excluded from participation in, be denied benefits of, be discriminated against in the admission or access to, or be discriminated against in treatment or employment in the State's contracted programs or activities on the grounds of disability, age, race, color, religion, sex, national origin, or any other classification protected by federal or Tennessee State Constitutional or statutory law; nor shall they be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of contracts with the State or in the employment practices of the State's contractors. Accordingly, all vendors entering into contracts with the State shall, upon request, be required to show proof of such nondiscrimination and to post in conspicuous places, available to all employees and applicants, notices of nondiscrimination. The State has designated the following to coordinate compliance with the nondiscrimination requirements of the State of Tennessee, Title VI of the Civil Rights Act of 1964, the Americans with Disabilities Act of 1990, and applicable federal regulations:

[NAME OF INDIVIDUAL OR OFFICE]

[ADDRESS]

[TELEPHONE NUMBER]

##### 2. Assistance to Proposers With a Disability

Proposers with a disability may receive accommodation regarding the means of communicating this RFP and participating in this procurement process. Proposers with a disability should contact the RFP Coordinator to request reasonable accommodation no later than the deadline for accommodation requests detailed in the Section 2, RFP Schedule of Events.

##### 3. Technical Proposals shall provide the following information . . . written certification and assurance of the Proposer's compliance with:

- the laws of the State of Tennessee;
- Title VI of the federal Civil Rights Act of 1964;
- the Equal Employment Opportunity Act and the regulations issued thereunder by the federal government;
- the Americans with Disabilities Act of 1990 and the regulations issued thereunder by the federal government;
- the condition that the submitted proposal was independently arrived at, without collusion, under penalty of perjury; and,
- the condition that no amount shall be paid directly or indirectly to an employee or official of the State of Tennessee as wages, compensation, or gifts in exchange for acting as an officer, agent, employee, subcontractor, or consultant to the Proposer in connection with the procurement under this RFP.

(Use Attachment 9.1, Certification of Compliance)

#### B. Competitive Negotiations

#### C. Non-competitive Negotiations (upon F&A Commissioner approval)

### II. Contract Provisions Ensuring Accountability

#### A. Scope of Services (with sufficient detail to ensure accountability and results)

#### B. Payment Methodology (providing the state with the best opportunity to evaluate the services provided and compensate the contractor accordingly)

#### C. Travel Compensation (ensures that all reimbursements are in accordance with state travel regulations)

#### D. Payment of Invoice (reserves the state's right to object to or question any invoice or matter in relation thereto and requires that payments shall neither be construed as acceptance of any part of the work or service provided nor as an approval of any of the amounts invoiced therein)

- E. Invoice Reductions (makes the contractor's invoice subject to reduction for amounts included in any invoice or payment theretofore made which are determined by the State, on the basis of audits conducted in accordance with the terms of this contract, not to constitute proper remuneration for compensable services)
- F. Deductions (reserves the state's right to deduct from amounts which are or shall become due and payable to the contractor under this or any contract between the contractor and the State of Tennessee any amounts which are or shall become due and payable to the State of Tennessee by the contractor)
- G. Required Approvals (requires the contract approvals detailed below)
- H. Termination for Convenience (unilateral state right to terminate for any reason)
- I. Termination for Cause (unilateral state right to terminate for cause)
- J. Subcontracting (requires prior written approval by the state)
- K. Nondiscrimination provision required in all contracts and grants:  
The Contractor hereby agrees, warrants, and assures that no person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of this Contract or in the employment practices of the Contractor on the grounds of disability, age, race, color, religion, sex, national origin, or any other classification protected by Federal, Tennessee State constitutional, or statutory law. The Contractor shall, upon request, show proof of such nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.
- L. Records (requires maintenance of documents subject to state audit)
- M. Audit and Annual Report (requires an annual audit of all grantees receiving \$300,000 or more in aggregate federal and/or state funding)
- N. Public Accountability provision required in all grant contracts:  
If this Grant involves the provision of services to citizens by the Grantee on behalf of the State, the Grantee agrees to establish a system through which recipients of services may present grievances about the operation of the service program, and the Grantee agrees to display a sign at least twelve inches (12") high and eighteen inches (18") wide stating:  
NOTICE:  
THIS AGENCY IS A RECIPIENT OF TAXPAYER FUNDING. IF YOU OBSERVE AN AGENCY DIRECTOR OR EMPLOYEE ENGAGING IN ANY ACTIVITY WHICH YOU CONSIDER TO BE ILLEGAL, IMPROPER, OR WASTEFUL, PLEASE CALL THE STATE COMPTROLLER'S TOLL FREE HOTLINE:  
1-800-232-5454  
Said sign shall be displayed in a prominent place, located near the passageway(s) through which the public enters in order to receive Grant supported services.
- O. Public Notice provision required in all grant contracts:  
All notices, informational pamphlets, press releases, research reports, signs, and similar public notices prepared and released by the Grantee shall include the statement, "This project is funded under an agreement with [NAME OF STATE AGENCY]." Any such notices by the Grantee shall be approved by the State.
- P. Monitoring provision required in all service contracts:  
The Contractor's activities conducted and records maintained pursuant to this Contract shall be subject to monitoring and evaluation by the State, the Comptroller of the Treasury, or their duly appointed representatives.
- Q. Progress Report provision required in all service contracts:  
The Contractor shall submit brief, periodic, progress reports to the State as requested.
- R. Hold Harmless provision required in all service contracts:  
The Contractor agrees to indemnify and hold harmless the State of Tennessee as well as its officers, agents, and employees from and against any and all claims, liabilities, losses, and causes of action

which may arise, accrue, or result to any person, firm, corporation, or other entity which may be injured or damaged as a result of acts, omissions, bad faith, negligence, or willful misconduct on the part of the Contractor, its employees, or any person acting for or on its or their behalf relating to this Contract. The Contractor further agrees it shall be liable for the reasonable cost of attorneys for the State in the event such service is necessitated to enforce the terms of this Contract or otherwise enforce the obligations of the Contractor to the State.

In the event of any such suit or claim, the Contractor shall give the State immediate notice thereof and shall provide all assistance required by the State in the State's defense. The State shall give the Contractor written notice of any such claim or suit, and the Contractor shall have full right and obligation to conduct the Contractor's own defense thereof. Nothing contained herein shall be deemed to accord to the Contractor, through its attorney(s), the right to represent the State of Tennessee in any legal matter, such rights being governed by *Tennessee Code Annotated*, Section 8-6-106.

III. Contract Approvals

- A. Procuring Agency Head (all)
- B. Commissioner of F&A (all over \$5000)
- C. Commissioner of Personnel (contracts with individuals and for training state employees)
- D. Comptroller (DOT and multi-year contracts and those for financial management and consulting services)
- E. State Architect (contracts for engineering and architectural services)
- F. Attorney General (contracts for legal counsel)
- G. Governor (agreements between departments for cooperative agreements)

IV. Contract Monitoring

- A. Procuring Agency (both program staff monitoring and independent monitoring)
- B. Third Agency Independent Monitoring and Auditing
- C. Accounts Requirement for Invoice Review and Approval



<b>Service Provider Registry System Registration Statistics</b>	
Total Service Providers Registered	3098
Total Minority/Disadvantaged Service Providers Registered	825
Total Registered for Each Ownership Characteristic:	
African American	158
Asian American	71
Disabled	16
Female	377
Hispanic American	19
Native American	12
Not Classified	955
Other Ethnic Origin	15
<i>(data reflects possible multiple ownership characteristic registration)</i>	

## APPENDIX 6— SPRS REGISTRATIONS BY REGION AND OWNERSHIP

### Service Provider Registry

#### Registrations by Region & Ownership Description (as of 7/15/02)

Note: Data reflects possible, multiple ownership descriptions registered for a single service provider.

<b>Statewide Provision of Service</b>		<b>1911</b>		
			African American	158
			Asian American	71
			Hispanic American	19
			Native American	12
			Other Minority Ethnicity	15
			Disabled	16
			Female	377
			Other	955
<b>Region 1 Provision of Service</b>		<b>128</b>		
Lake, Obion, Dyer, Crockett, Gibson, Weakley, Henry, Carroll, Henderson, Benton, & Decatur County			African American	13
			Asian American	2
			Hispanic American	1
			Native American	0
			Other Minority Ethnicity	1
			Disabled	5
			Female	21
			Other	71
<b>Region 2 Provision of Service</b>		<b>430</b>		
Stewart, Montgomery, Robertson, Sumner, Houston, Dickson, Cheatham, Davidson, Wilson, Humphreys, Hickman, Williamson, Rutherford, & Trousdale County			African American	55
			Asian American	8
			Hispanic American	6
			Native American	8
			Other Minority Ethnicity	3
			Disabled	13
			Female	101
			Other	219
<b>Region 3 Provision of Service</b>		<b>124</b>		
Macon, Clay, Pickett, Fentress, Smith, Dekalb, White, Putnam, Cumberland, Overton, & Jackson County			African American	10
			Asian American	3
			Hispanic American	3
			Native American	2
			Other Minority Ethnicity	0
			Disabled	2
			Female	22
			Other	68
<b>Region 4 Provision of Service</b>		<b>202</b>		
Scott, Campbell, Claiborne, Morgan, Anderson, Union, Grainger, Roane, Loudon, Monroe, Blount, Sevier, Jefferson, & Knox County			African American	11
			Asian American	2
			Hispanic American	3
			Native American	3
			Other Minority Ethnicity	0
			Disabled	9
			Female	33
			Other	118

<b>Region 5 Provision of Service</b>		<b>159</b>	
Hancock, Hawkins, Hamblen, Greene, Cocke, Unicoi, Washington, Sullivan, Carter, & Johnson County		African American	3
		Asian American	3
		Hispanic American	4
		Native American	3
		Other Minority Ethnicity	0
		Disabled	5
		Female	34
		Other	88
<b>Region 6 Provision of Service</b>		<b>225</b>	
Lauderdale, Haywood, Madison, Chester, Hardin, McNairy, Hardeman, Fayette, Shelby, & Tipton County		African American	51
		Asian American	3
		Hispanic American	3
		Native American	3
		Other Minority Ethnicity	2
		Disabled	12
		Female	49
		Other	103
<b>Region 7 Provision of Service</b>		<b>115</b>	
Perry, Lewis, Maury, Marshall, Bedford, Moore, Wayne, Lawrence, Giles, & Lincoln County		African American	5
		Asian American	3
		Hispanic American	3
		Native American	2
		Other Minority Ethnicity	0
		Disabled	2
		Female	20
		Other	63
<b>Region 8 Provision of Service</b>		<b>188</b>	
Cannon, Warren, Van Buren, Bledsoe, Rhea, Meigs, McMinn, Polk, Bradley, Hamilton, Marion, Franklin, Coffee, Grundy, & Sequatchie County		African American	9
		Asian American	3
		Hispanic American	4
		Native American	2
		Other Minority Ethnicity	0
		Disabled	5
		Female	27
		Other	112

## APPENDIX 7—F&A CONTRACTOR DIVERSITY

### F&A Contractor Diversity

(contracts that were current some time during Fiscal Year 2002)

CONTRACTOR DISCRIPTION	NUMBER	TOTAL CONTRACTING DOLLARS
<b>African American</b> (51% or more owned and operated by a person or persons having origins in any of the Black racial groups of Africa)	16	\$1,364,533
<b>Asian American</b> (51% or more owned and operated by a person or persons having origins in any of the original peoples of the Far East, Asia, the subcontinent, or the Pacific Islands)	4	\$12,282,140
<b>Hispanic American</b> (51% or more owned and operated by a person or persons of Cuban, Mexican, Puerto Rican, Central or South American, or other Spanish or Portuguese origin, culture, or descent, regardless of race or having a Spanish surname)	0	0
<b>Native American</b> (51% or more owned and operated by a person or persons having origins in any of the original peoples of North America)	0	0
<b>Other Minority Ethnicity</b> (51% or more owned and operated by a person or persons having ethnicity different from the groups above and from the majority population of Tennessee)	0	0
<b>Disabled</b> (51% or more owned and operated by a person or persons having a physical or mental impairment that, in the written opinion of a licensed physician, substantially limits the major life activities including caring for oneself and performing one or more of the following tasks: writing, walking, seeing, hearing, speaking, or breathing)	0	0
<b>Female</b> (51% or more owned and operated by a female)	146	\$10,005,500
<b>Small Business</b> (independently owned and operated, has total gross receipts of no more than \$2,000,000.00 for the most recently ended federal tax year, and employs no more than 30 persons on a full-time basis)	24	\$14,444,944
<b>Female Owned Small Business</b>	3	\$269,802
<b>Government</b> (as described by T.C.A., § 29-20-102)	206	\$20,621,710
<b>Not Minority/Disadvantaged</b> (51% or more owned and operated by a person or persons NOT classified as minority/disadvantaged, small business, or government)	121	\$1,435,466,184
<b>Delegated Authority</b> (permits a state agency to make agreements for an individual program within specified limits and guidelines without individual approval of each by F&A — the Service Provider Registry does not collect contractor description data on the individual contracts)	8	\$2,966,840
<b>TOTAL</b>	<b>528</b>	<b>\$1,497,491,733</b>

## BID FORM

TO:                               **STATE OF TENNESSEE**

PROJECT:

**A.** The Bidder acknowledges in submitting this bid that:

1. Bidder has received, read, and understands the Bidding Documents, has visited the site and become familiar with local conditions under which work is to be performed, has correlated observations with requirements of Bidding Documents, and makes this bid in accordance therewith.
2. Information Available to Bidders, identified in 00300 series documents in the Bidding Requirements, were prepared solely for Designer's use in design of this Work and have not been relied upon in the preparation of this bid. The use and interpretation of such information for any purposes is entirely the responsibility of the using party.
3. The required Bid Security, in the amount of five percent (5%) of the total amount bid, is attached hereto.
4. Failure to complete Bid Form, provide required attachments, or comply otherwise with the Instructions to Bidders, may be cause for rejection of bid.
5. This Bidder's status, as defined in Chapter 1390-1-1 of the rules of the State Building Commission, is:  
(Yes or No)\_\_\_\_\_The Bidder and/or any of the Bidder's employees, agents, independent contractors and/or proposed subcontractors have been convicted of, pled guilty to, or pled nolo contendere to any contract crime involving a public contract.

6. This Bidder has received the following addenda:

Addendum No \_\_\_\_\_ dated \_\_\_\_\_  
 Addendum No \_\_\_\_\_ dated \_\_\_\_\_  
 Addendum No \_\_\_\_\_ dated \_\_\_\_\_

7. This Bidder is certified as a "Minority-owned business" (Yes or No)\_\_\_\_\_ If "Yes":

Minority Classification: \_\_\_\_\_

Certifying Agency: \_\_\_\_\_

The above information requested (No. 7) is for reporting purposes only, and is not a factor in the evaluation of bids.  
 (See General Conditions Article 1.6)

8. The person who signs this bid on behalf of the Bidder is required to be legally empowered to bind the Bidder to a Contract.

**B.** This Bidder agrees to:

1. Honor this bid for a period of forty-five (45) days following the date of the scheduled opening of bids.
2. Enter into and execute a contract, if presented on the basis of this bid, and furnish certificate(s) of insurance and other documents related to the contract as required, including, if the Contract Sum exceeds One-hundred thousand dollars (\$100,000.00), the Contract Bond and the Three Year Roof Bond, the latter in the amount of \_\_\_\_\_
3. Accomplish the Work in accordance with the Contract Documents.
4. Achieve Substantial Completion of the Work \_\_\_\_\_ calendar days from and including the date stipulated in the Notice to Proceed.
5. Accept the conditions for Liquidated Damages in the amount of \_\_\_\_\_ per calendar day.

**BID FORM** continued:  
for the project titled

**BASE BID:**

This Bidder agrees to complete the Work of the Base Bid for this project for the lump sum of (show amount in both words and figures):

\_\_\_\_\_ and \_\_\_\_\_/100ths Dollars

\$ \_\_\_\_\_

**Submitted by:**

Authorized  
signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name and title:

(Type or print)

On behalf of:

(Name of Bidder)

Bidder's address:

(Please give Street  
and Mailing address  
if different)

Bidder's

Telephone Number:

Bidder's

Federal Business

Identification Code:

**00401-86**

CPM January 2000 Std LF 00401 Bid Form

## APPENDIX 9—TCNCS ENROLLMENT FORM

### AmeriCorps MEMBER ENROLLMENT QUERY

Submit Query

The query will return a list of all members that fit the criteria you select below.

\*To include "all" for any of the options, leave that option blank\*

Program	Grant Year	Member Status	Enrollment Types
<input type="checkbox"/> AmeriCARES	<input type="checkbox"/> 1998-1999	<input type="checkbox"/> Not Yet Enrolled	<input type="checkbox"/> Full-time
<input type="checkbox"/> AmeriCorps Regional Intervention Program Partnership	<input type="checkbox"/> 1999-2000	<input type="checkbox"/> Active	<input type="checkbox"/> 1 YR part-time
<input type="checkbox"/> CAC AmeriCorps	<input type="checkbox"/> 2000-2001	<input type="checkbox"/> Suspended	<input type="checkbox"/> 2 YR part-time
<input type="checkbox"/> Chattanooga Family Service Corps	<input type="checkbox"/> 2001-2002	<input type="checkbox"/> Reinstated	<input type="checkbox"/> Summer
<input type="checkbox"/> East Tennessee AmeriCorps Promise Fellows Program	<b>Operating Site:</b> <input style="width: 150px;" type="text"/>	<input type="checkbox"/> Transferred	<input type="checkbox"/> Other
<input type="checkbox"/> Emerald Avenue AmeriCorps Urban Youth Foundation		<input type="checkbox"/> Complete - Full Award	<b>Ed Award/Stipended</b>
<input type="checkbox"/> Family Reading Corps		<input type="checkbox"/> Complete - Partial Award	<input type="checkbox"/> Ed Award Only
<input type="checkbox"/> Hamilton Neighborhood Initiative		<input type="checkbox"/> Complete - No Award	<input type="checkbox"/> Stipended
<input type="checkbox"/> Housing Services Corps			
<input type="checkbox"/> Nashville Health Corps			
<input type="checkbox"/> Nashville READS Challenge Corps			
<input type="checkbox"/> Porter-Leath Children's Center			
<input type="checkbox"/> Project TLC: To Love a Child			
<input type="checkbox"/> School Achievement Partnership Project			
<input type="checkbox"/> Student Health Coalition on Aging			
<input type="checkbox"/> Tennessee Commission on National and Community Service			
<input type="checkbox"/> TN Governor's Environmental Initiative			
<input type="checkbox"/> AmeriCorps			

**Enroll Start Date between:**  
 and

**Expected Completion Date between:**  
 and

#### Advanced Queries:

##### 1. Gender:

- ☐ Female  
☐ Male

##### 2. Education:

- ☐ Less than high school completed  
☐ GED  
☐ High school graduate  
☐ Technical school/Apprenticeship  
☐ Some college

	<input type="checkbox"/> Associate degree (AA) <input type="checkbox"/> College graduate <input type="checkbox"/> Some graduate school <input type="checkbox"/> Graduate degree
<b>3. Vote:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure <input type="checkbox"/> Not Eligible <input type="checkbox"/> Prefer not to respond	<b>4. Disability:</b> <input type="checkbox"/> No <input type="checkbox"/> Prefer not to respond <input type="checkbox"/> Yes (please specify in box below)
<b>5. Race:</b> <input type="checkbox"/> American Indian or Alaskan Native <input type="checkbox"/> Asian or Pacific Islander <input type="checkbox"/> Black <input type="checkbox"/> White	<b>6. Veteran</b> <input type="checkbox"/> Yes <input type="checkbox"/> No
<b>7. Ethnicity:</b> <input type="checkbox"/> Hispanic origin <input type="checkbox"/> Not of Hispanic origin	<b>8. Marital Status:</b> <input type="checkbox"/> Single - never married <input type="checkbox"/> Married - living with husband/wife <input type="checkbox"/> Married - not living with spouse/legally separated <input type="checkbox"/> Widowed <input type="checkbox"/> Divorced <input type="checkbox"/> Prefer not to respond
<b>9. Citizenship</b> <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> U.S. National <input type="checkbox"/> Lawful Permanent Resident Alien of the United States	<b>10. Type of Program:</b> <input type="checkbox"/> AmeriCorps*State <input type="checkbox"/> AmeriCorps*National Direct <input type="checkbox"/> AmeriCorps*National Civilian Community Corps <input type="checkbox"/> AmeriCorps*VISTA <input type="checkbox"/> AmeriCorps Higher Education Demonstration <input type="checkbox"/> Other
<b>11. AmeriCorps education award only position:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	<b>12. Living Allowance:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No
<b>13. Most important reasons you decided to join</b>	<b>14. How did they hear about this program?</b>



**this program?**

- ☐ To get an education scholarship
- ☐ To help other people/perform a community service
- ☐ To be part of a national movement
- ☐ To get a job/earn money
- ☐ Friends have joined
- ☐ To make friends
- ☐ To learn about or work with different ethnic/cultural groups
- ☐ Parents/teachers wanted me to join
- ☐ To explore future job/education interests
- ☐ To get involved in health issues
- ☐ To get involved in education issues
- ☐ To get involved in environmental issues
- ☐ To get involved in public safety issues
- ☐ Other (please specify in box below)

- ☐ Read about it in a newspaper/magazine article
- ☐ Saw an advertisement in a newspaper/magazine
- ☐ Saw/heard a public service announcement
- ☐ Heard the President talk about it
- ☐ Recruited by an organization school
- ☐ Guidance counselor/Teacher
- ☐ Parent/Relative
- ☐ Current or former AmeriCorps member
- ☐ Friend told me/Friend applied
- ☐ Heard about it on TV
- ☐ Heard about it on the radio
- ☐ Heard about it on Internet/World Wide Web
- ☐ Heard about it from an AmeriCorps recruiter/representative
- ☐ Received information in the mail
- ☐ Other (please specify in box below)

**15. Current Zip Code**

(Enter as many characters as necessary  
eg - enter '605' to return all zip codes that start with  
'605'.)

## F & A DIVISION OF RESOURCE DEVELOPMENT AND SUPPORT PROGRAM ACCOUNTABILITY REVIEW GUIDE FOR CIVIL RIGHTS

REVIEW ITEM	COMMENTS/WORK PAPER REFERENCE  <i>(Comments should identify specific information relating to compliance, indicate work paper reference where supporting documentation is found, indicate if reviewed by fiscal consultant, or marked N/A if not applicable)</i>	C/NC/NA C =Compliance NC =Noncompliance NA =Not Applicable
<b>CIVIL RIGHTS</b> <i>(reference-contract provision)</i>		
<b>Is there evidence of discriminatory practices directed either to customers of service or staff?</b> <i>(Titles VI and VII of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Americans with Disabilities Act and the Age Discrimination Act of 1975)</i>	Client record review, personnel file review, Title VI complaints or grievances, Staff and client interviews, Grantor feedback	
Has the contract agency received any discrimination complaints within the last or current contract year? Explain.	Staff and client interviews, Title VI complaints or grievances, Grantor feedback	
What assurances of compliance have been signed by the agency? When and by whom were they signed?	Title VI assurance	
What non-discrimination postings does the agency have and where are they posted?	Title VI postings	
What documentation does the agency keep as	Agency Title VI or non-discriminatory policy, Assurance of Compliance,	

REVIEW ITEM	<b>COMMENTS/WORK PAPER REFERENCE</b>  <i>(Comments should identify specific information relating to compliance, indicate work paper reference where supporting documentation is found, indicate if reviewed by fiscal consultant, or marked N/A if not applicable)</i>	C/NC/NA C =Compliance NC =Noncompliance NA =Not Applicable
proof of its non-discriminatory status?	Staff Title VI training documentation, client record documentation indicating uniformity of service, agency pamphlets or public information reporting non-discriminatory services.	
<b>How does the agency advertise its non-discriminatory status?</b>	Pamphlets and public information, advertisements	